

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Diana Hynek 12/20/2002  
Departmental Paperwork Clearance Officer  
Office of the Chief Information Officer  
14th and Constitution Ave. NW.  
Room 6625  
Washington, DC 20230

In accordance with the Paperwork Reduction Act, OMB has taken the following action on your request for approval of the reinstatement of an information collection received on 10/17/2002.

TITLE: Economic Performance Data for West Coast  
(California-Alaska) Commercial Fisheries

AGENCY FORM NUMBER(S): None

ACTION : APPROVED WITHOUT CHANGE

OMB NO.: 0648-0369

EXPIRATION DATE: 12/31/2005

BURDEN:	RESPONSES	HOURS	COSTS(\$,000)
Previous	0	0	0
New	2,278	7,074	0
Difference	2,278	7,074	0
Program Change		7,074	0
Adjustment		0	0

TERMS OF CLEARANCE: None

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OMB Authorizing Official Title

Donald R. Arbuckle Deputy Administrator, Office of  
Information and Regulatory Affairs

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# PAPERWORK REDUCTION ACT SUBMISSION

**Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

1. Agency/Subagency originating request	2. OMB control number <span style="float: right;">b. <input type="checkbox"/> None</span> a. _____ - _____
3. Type of information collection ( <i>check one</i> ) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested ( <i>check one</i> ) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated  5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No  6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) ( <i>if applicable</i> )	
9. Keywords	
10. Abstract	
11. Affected public ( <i>Mark primary with "P" and all others that apply with "x"</i> ) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond ( <i>check one</i> ) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden ( <i>in thousands of dollars</i> ) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection ( <i>Mark primary with "P" and all others that apply with "X"</i> ) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting ( <i>check all that apply</i> ) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission)  Name: _____ Phone: _____

## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

**NOTE:** The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator or head of MB staff for L.O.s, or of the Director of a Program or Staff Office)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

**WEST COAST AND ALASKA COST AND REVENUE SURVEY**  
**OMB CONTROL NO. 0648-0369**

This request is for clearance of a general survey approach. We are requesting the same "Terms of Clearance" as the 4/21/1999 approval, providing for an expedited clearance process for specific surveys.

**1. Explain the circumstances that make the collection of information necessary.**

Currently, there is not an economic data collection program in place on the West Coast and in Alaska that sufficiently serves the needs of economic analysts within the National Marine Fisheries Service (NMFS), the staffs of the Pacific Fishery Management Council (PFMC) and the North Pacific Fishery Management Council (NPFMC), as well as state, academic and other researchers. The collection of cost and revenue information is one of the top unmet data priorities of the PFMC as identified in the most recent version of the draft West Coast Research and Data Needs, 2000-2002 document.

A collection of costs, revenues and other economic information on firms affected by the management of federal and state commercial fisheries on the West Coast and Alaska is needed to ensure that national goals, objectives, and requirements of the Magnuson-Stevens Fishery Conservation and Management Act (MFCMA), National Environmental Policy Act (NEPA), Regulatory Flexibility Act (RFA) and Executive Order 12866 (EO12866) as well as a variety of state statutes such as Oregon Revised Statute 183.335, Oregon Revised Statute 183.540 and Alaska Statute 16.05 are met. This information will be used to assess the economic effects of fisheries management decisions on the parties affected, the effects on efficiency and net benefits of such decisions to the nation as a whole.

**Background**

**MFCMA**

The MFCMA establishes eight regional Councils. Among these are the Pacific and North Pacific Fishery Management Councils. The Pacific Fishery Management Council (PFMC) is charged with responsibility for federal waters off the Washington, Oregon and California coasts [MFCMA (Sec 302(a(F)))]. The North Pacific Fishery Management Council (NPFMC) is charged with responsibility for federal waters off Alaska's coast [MFCMA (Sec 302(a(G)))]. Each Council is charged with the preparation of fishery management plans and plan amendments with respect to each fishery within its geographic area of authority requiring management [MFCMA Sec 302(h(1))] (see Attachment A).

Any fishery management plan which is prepared by any Council, or by the Secretary of Commerce, must contain conservation and management measures which are consistent with the national standards, and any other applicable law; and a description of the fishery including, actual and potential revenues from the fishery. Plans and plan amendments must also include a fishery impact statement that assess, specify, and describe the likely effects of proposed measures on participants in the fisheries affected [MFCMA Section 303(a)] (see attachment A).

The national standards referenced above require that conservation and management measures, where practicable, promote efficiency in the utilization of fishery resources; except that no such measure shall have economic allocation as its sole purpose [MFCMA Section 301(a)] (see Attachment A).

Appropriate descriptions of the fishery and assessments of the effects of management actions must include economic information. In particular, cost and revenue information is necessary to evaluate the effects of proposed measures on efficiency. Cost and revenue information is also necessary to anticipate the likely effects of proposed measures on participants in the fishery.

With regards to information relating to communities the MFCMA requires that ‘conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities in order to (A) provide for the sustained participation of such communities, and (B) to the extent practicable, minimize adverse economic impacts on such communities’ [MFCMA Section 301(104-297(8))]. Further, all FMPs shall ‘assess, specify, and describe the likely effects, if any, of the conservation and management measures on participants in the fisheries and fishing communities affected by the plan or amendment’ [MFCMA Section 303(9(A))].

Acting under authorities provided in the MFCMA, the Council and Secretary of Commerce have developed and implemented a fishery management plan covering the West Coast groundfish fishery. One of the specific processes created under this plan is a framework for development and evaluation of management decisions having substantial socio-economic implications (Section 6.2.3 of the Pacific Coast Groundfish Plan) (see Attachment B). Where management is necessary to address socio-economic issues the Council must prepare a report which addresses the achievement of goals and objectives of the FMP, economic impacts and how the proposed action will address at least one of 15 items including: maintaining stability in the fishery, increasing economic yield and increasing fishing efficiency. With respect to allocation actions, the Council must consider such factors as present participation in and dependence on the fishery, including alternative fisheries, historical fishing practices in and historical dependence on the fishery as well as consistency with MFCMA standards. This Council also has a salmon plan similar to their groundfish plan. In addition, the various states also manage salmon, crab, groundfish and other fisheries that require similar analyses.

Fishery management is by nature an allocative activity. Even a decision to not manage a fishery allocates in as much as it implicitly allocates to those who can catch the most fish before a resource is depleted. Unlike open competition where all resources are under private ownership, open competition for the use of a public resource does not necessarily result in the most efficient use of that resource.

## **NEPA**

NEPA requires federal agencies to consider the interactions of natural and human environments, and the impacts on both systems of any changes due to governmental activities or policies. This

consideration is to be done through the use of "a systematic, interdisciplinary approach that will ensure the integrated use of the natural and social sciences . . . in planning and in decision-making. . ." (NEPA Section 102(2)(A)) (see Attachment C). Under NEPA, an Environmental Assessment (EA) is required to reflect impacts of the fishery on the human environment of any federal planning or rule-making. NEPA specifies that the term "human environment" shall be interpreted comprehensively to include the natural and physical environment and the relationship of people with that environment" [NEPA Section 102 (C)] (see Attachment C). In times when fishery resources are abundant and all human uses can be satisfied without overexploiting the resources, an EA typically describes impacts on the natural environment. As exploitation of the resource approaches maximum sustainable yield and explicit allocation between users becomes necessary, EAs are broadened to include full consideration of impacts on the human environment.

NMFS operational guidelines for fishery management plans specify a number of economic impacts to be considered in assessing the effects of proposed regulatory actions. The economic effects identified which require the collection of cost and revenue information include effects on prices, revenue, profit, employment, productivity, distribution of gains and losses, balance of trade, and competition.

## **RFA**

The RFA requires federal agencies to fully analyze the effects of regulations on small entities to determine whether an action will "have a significant economic impact on a substantial number of small entities" [NMFS "Operational Guidelines Fishery Management Plan Process]. At a minimum, sufficient information is necessary to allow a determination of whether the impacts will be "significant." Determination of the significance of impacts requires cost and revenue information for the specific activity in question (fish harvest and processing) as well as some level of general information on the full range of income producing activities in which firms are engaged.

## **EO 12866**

EO 12866 requires an assessment of all costs and benefits of available regulatory alternatives. Under EO 12866, when choosing among regulatory approaches, agencies should select those approaches that maximize net benefits. (EO 12866 Sec. 1 (a)) (see Attachment D). In addition, EO 12866 states that "Each agency is required to base its decisions on the best reasonably obtainable scientific, technical, economic and other information concerning the need for, and consequences of, the intended regulation." (EO 12866 Sec. 1 b(7)) (see Attachment D).

This executive order, combined with the MFCMA national standard on use of best scientific information available, obligate NMFS to seek clearance for the collection of the information necessary to meet decision standards set out in the national policies outlined above. Regardless of what action the Council and Secretary take with respect to management of the groundfish fisheries for 2002 and beyond (including a no action alternatives), economic information is needed to meet the requirements listed above.

## **Examples of state regulatory needs:**

### **A. Oregon Revised Statute 183.335**

Oregon Revised Statute (ORS) 183.335 (see Attachment E) addresses the adoption, amendment or repeal of any state rule. Specifically, this statute requires a statement of fiscal impact identifying state agencies, units of local government and the public which may be economically affected by the adoption, amendment or repeal of the rule and an estimate of that economic impact on state agencies, units of local government and the public. In considering the economic effect of the proposed action on the public, the agency shall utilize available information to project any significant economic effect of that action on businesses that shall include a cost of compliance effect on small businesses affected (ORS 183.335(E)) (see Attachment E). Determination of economic effects requires cost and revenue information for the specific activity in question (fish harvesting and processing) as well as some level of general information on the full range of income producing activities in which firms are engaged.

### **B. Oregon Revised Statute 183.540**

ORS 183.540 (see Attachment E) states that “when the economic effect analysis shows that the rule has a significant adverse effect upon small business and, to the extent consistent with the public health and safety purpose of the rule, the agency shall reduce the economic impact of the rule on small business by: (1) Establishing differing compliance or reporting requirements or time tables for small business; (2) Clarifying, consolidating or simplifying the compliance and reporting requirements under the rule for small business; (3) Utilizing objective criteria for standards; or (4) Exempting small businesses from any or all requirements of the rule’. Much like RFA, this statute requires sufficient information to establish significance. Further, ORS 183.545 (see Attachment E) requires that each agency “periodically, but not less than every three years, shall review all rules that have been issued by the agency. The review shall include an analysis to determine whether such rules should be continued without change or should be amended or rescinded, consistent with the stated objectives of applicable statutes, to minimize the economic effect on businesses and the effect due to size and type of business”.

### **C. Alaska Statutes 16.05**

Under this statute, the Commissioner of the Department of Fish and Game shall “manage, protect, maintain, improve, and extend the fish, game and aquatic plant resources of the state in the interest of the economy and general well-being of the state” (AS16.05.020(2))) (see Attachment F). Alaska Statutes 16.05.251 (e) 5 and 6 (see Attachment F) allow the Alaska Board of Fisheries to ‘allocate fishery resources among personal use, sport, guided sport, and commercial fisheries’ using such criteria as ‘the importance of each fishery to the economy of the state’ (AS 16.05.251 (e) 5) and ‘the importance of each fishery to the economy of the region and local area in which the fishery is located’ (AS 16.05.251 (e) 6) as appropriate to particular allocation decisions. This statute suggests the need for economic data sufficient to provide a measure of these levels of importance.



**2. Explain how, by whom, how frequently, and for what purpose the information will be used.**

Information will initially be collected using a series of surveys of the industry conducted by the Pacific States Marine Fisheries Commission (PSMFC) in cooperation with the NMFS. These surveys will be administered to different strata of the harvesting and processing industry over the next three years. No segment of the industry will be surveyed more than once in this time span. It is anticipated that one or two surveys will be conducted each calendar year. All information collected in the survey will be used to provide information on potential impacts of the NMFS, PSMFC, NPFMC and states management decisions, as well as provide an economic database for other analysts and researchers. In general, different combinations and comparisons of cost and revenue information for harvesting and processing and other activities of the vessel or plant will allow analysts to estimate:

- Net economic value to the nation
- Economic health of the fishery
- Effects on business efficiency
- Community income impacts
- Firms' economic dependence on the fishery
- Significance of impacts on small businesses
- Likelihood of bankruptcies
- Effects on international competitiveness

Examples of what specific surveys may look like for each type of operation, catcher boats, catcher/processors, motherships and shoreside processors, will be provided when they are developed. Copies of a survey (including instructions and letters to the industry) used in past data collection exercises is included as Attachment G for illustrative purposes.

In addition to the sample survey, Attachments H through K are lists of potential questions for each of the four industry types, catcher and charter vessels, shoreside processors, motherships and catcher/processors respectively. These lists comprise a source for questions for future surveys. The following is a summary of the need for each type of question.

**Harvest Vessel Surveys - Attachment H**

**Question 1. Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

**Question 2. Ownership:** Questions regarding ownership are useful in terms of social interest, however, evaluation of owner participation also plays a role in predicting whether marginal vessels will stay in business. For example, the owner of a vessel with zero or slightly negative net profits may decide to remain in the fishery if the owner is deriving a wage from personally

operating a vessel. On the other hand, an owner who hires a skipper may be more likely to choose to exit the fishery under a similar circumstance.

**Question 3. Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, including limited entry permits, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods that in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4. Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed expenses of participation must be allocated between alternative fishing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5. Operating Costs:** This information is necessary to estimate the net value of participation in the fishery and is used in the Fishery Economic Assessment Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities; (2) estimating the income impacts if a projection is made that a vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e. if fixed operating expenses are not covered) and (3) assessing, in combination with catch and revenue information, the relative importance and dependence of the vessel on harvesting versus other income producing activities of the vessel.

**Question 6. Effort/Gear Descriptors:** These questions are useful in helping the analyst describe and quantify effort on the fishing grounds in terms of gear deployed. This information could be used in developing models of efficient fleet size to support such activities as fleet reduction programs, as well as provide information on the level of overcapitalization within the various sectors of a fishery.

**Question 7. Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

For deliveries made onshore, questions about revenue are important to capture end-of-year settlements or in-kind payments not reflected in the fish tickets. For vessels delivering to motherships, these questions are particularly important because there are no fish ticket records for at-sea landings. Information on revenue from other fisheries is needed because of similar deficiencies in fish ticket records, and lack of access to confidential information for fisheries outside the West Coast area.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents

provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8. Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation.

**Question 9. Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew share is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport (for vessels delivering to motherships). This information is particularly important in assigning community impacts for vessels delivering to motherships but is also useful when the vessel is active in multiple ports. While this simplifying assumption was useful in the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10. Labor/Employee/Family:** Much of this information is of social interest in terms of effect on the fishing community and general community employment. To be of value the information must be combined with information on alternative fisheries and number of weeks of activity in the fisheries.

**Question 11. Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

## **Shoreside Processor Surveys - Attachment I**

**Question 1. Plant Characteristics:** Little information currently exists on shoreside processing plants such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of plants to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2. Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent plants. Often, individual plants are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and plants. In addition, information on the company ownership of harvesting vessels plays a role in assessing the likely decisions of marginal plants to stay in business. Finally, plants with a wider species and product base, or plants that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3. Capital Costs and Land Costs:** This series of questions is designed to estimate market values and replacement costs of major existing assets, and economic life of these major assets. These economic values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a plant owner decides not to engage in any processing activity for a period of time. The fixed expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5. Operating Costs:** This information is necessary to estimate the net value of participation in the fishery and is used in the Fishery Economic Assessment Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities and (2) estimating the income impacts if a projection is made that a plant might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e. if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data.

**Question 6. Effort:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7. Revenue:** Revenue information, when combined with cost information, can be used to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8. Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9. Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the plant and, consequently, all wages are assumed to be spent in there. Similarly, current models assume all economic impacts occur in the plant port. However, given ownership of multiple plants in different ports by a single entity, these simplifying assumptions may be erroneous. The additional information solicited in these questions is necessary to provide the ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information more evenly distributed across sectors.

**Question 10. Labor/Employee/Family:** Much of this information is of social interest in terms of effect on the fishing community and general community employment. To be of value, this information must be combined with information on alternative processor activities and number of weeks of activity in the fisheries.

**Question 11. Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids interpretation of changes in prices and costs.

#### **Mothership Processor Surveys - Attachment J**

**Question 1. Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

Little information currently exists on at-sea processing vessels such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of vessels to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2. Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent operations. Often, individual operations are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and vessels. Also, operations with a wider species and product base, or operations that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3. Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5 Operating Costs:** This information is necessary to estimate the net value of participation in the fishery and is used in the Fishery Economic Assessment Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities; (2) estimating the income impacts if a projection is made that a vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e. if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data when they are available.

**Question 6 Effort/Crew Descriptors:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7 Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8 Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9 Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew payment is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport. This information is particularly important in assigning community impacts for vessels active in multiple fisheries, for example, West Coast whiting and Bering Sea pollock. While this simplifying assumption was useful in

the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10 Labor/Employee/Family:** Much of this information is of social interest in terms of effect on the fishing community and general community employment. To be of value the information must be combined with information on alternative fisheries and number of weeks of activity in the fisheries.

**Question 11 Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

### **Catcher/Processor Surveys - Attachment K**

**Question 1 Vessel Characteristics:** Information on U.S. Coast Guard identifier, state identifiers, etc., is necessary to help identify specific vessels. While much of the information on physical descriptors such as hull type, tonnages, length, etc. exists in other sources, this data is often outdated, missing or conflicting. Information on such items as engines, fuel capacity, electronics, and the difficulty in switching gears provides analysts data to model the likelihood of harvesters switching fisheries given changes in regulations.

Little information currently exists on at-sea processing vessels such as freezer capacities, processing equipment available, etc. This information is useful in assessing the ability and desire of vessels to process fish and to make general decisions about which fish/shellfish to process and to formulate decisions of which fish and shellfish to process in the case of conflicting seasons.

**Question 2 Ownership:** Questions regarding ownership are necessary to provide linkages between seemingly independent operations. Often, individual operations are treated as separate entities when in reality they are part of a larger company. Uncovering these linkages is useful to analysts in modeling the behavior of these companies and vessels. Also, operations with a wider species and product base, or operations that are part of a larger company may be more capable of weathering a fishery downturn than one that produces a smaller suite of products.

**Question 3 Capital Costs:** This series of questions is designed to estimate market value and replacement costs of major existing assets, including limited entry permits, and the economic life of these major assets. These values are used to calculate economic opportunity costs of capital goods, which in turn are used to calculate net economic benefits to the nation of industry participation.

**Question 4 Annual Operating Costs:** These are expenses that generally do not vary with the level of production. They are fixed over the short-term but some of them may be forgone if a vessel owner decided not to engage in any fishing activity for a period of time. The fixed

expenses of participation must be allocated between alternative processing activities and must be partially deducted from revenues as a step in determining net economic value. The information is also needed for the model that assesses community income impacts.

**Question 5 Operating Costs:** This information is necessary to estimate the net value of participation in the fishery and is used in the Fishery Economic Assessment Model to estimate income impacts. The capital costs and operating costs are of value for (1) allocating fixed costs between different activities; (2) estimating the income impacts if a projection is made that a vessel might stop operating entirely or be relocated in the absence of an opportunity to participate in a particular fishery (i.e. if fixed operating expenses are not covered). This information is useful in allocating annual operating costs across activities in order to assess the marginal net economic value of participation in the fishery over the long term. Questions regarding operating costs are also important to capture end-of-year settlements or in-kind payments not captured by the fish ticket data when they are available.

**Question 6 Effort:** These questions are useful in helping the analyst describe and quantify effort in terms of length of activity as well as forecast processing costs and employment.

**Question 7 Catch/Revenue:** Revenue information, in conjunction with cost information, is necessary to derive net economic value. Additionally, revenue information from all activities is needed in a method used to allocate fixed costs between different activities and as part of the assessment of relative dependence on the fishery.

In addition, if the respondents calculate their net income based on their other answers and the result is out-of-line with their experience, they may stop to consider whether they have answered the preceding questions on costs and revenue correctly and entirely. Further, if respondents provide previously calculated net income without checking for consistency, or analysts compare the reported values with fish ticket revenue information where available, analysts may derive a result different from the survey responses alerting them to some degree of incompleteness in either the survey or the responses to the questions.

**Question 8 Opportunity Cost:** These economic values are used to calculate net economic benefits to the nation of industry participation, to determine alternative uses of capital under the existing regulatory environment and to determine potential new uses of capital in light of regulatory change.

**Question 9 Regional Impact:** One assumption generally made in assessing impacts on coastal communities is that all employees live in the coastal area of the vessels homeport and, consequently, crew payment is spent in the vessel homeport. Similarly, current models assume all impacts occur in the port of landing or in a homeport. This information is particularly important in assigning community impacts for vessels active in multiple fisheries, for example, West Coast whiting and Bering Sea pollock. While this simplifying assumption was useful in the early development of the models used in West Coast fisheries income impact assessments, more recent versions of this model allow analysts to relax this assumption. The information solicited by these questions is necessary to make use of this ability to more accurately estimate



the distribution of effects. These questions are intended to address the issue with better quality information that is more evenly distributed across sectors.

**Question 10 Labor/Employee/Family:** Much of this information is of social interest in terms of effect on the fishing community and general community employment. To be of value the information must be combined with information on alternative fisheries and number of weeks of activity in the fisheries.

**Question 11 Other:** Business strategy, distribution and marketing questions are needed to assess the bargaining and buying/selling strategies at various levels of the distribution chain. Understanding these factors greatly aids in the interpretation of changes in prices and costs.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.**

To help reduce burden on the public, final versions of the surveys will be available on the Internet on the PSMFC web page. In addition, respondents will have an option of sending completed surveys via electronic mail or by facsimile machine to the PSMFC. The appropriate electronic mail addresses or telephone numbers will be supplied with surveys mailed to fishing industry members.

**4. Describe efforts to identify duplication.**

State, federal and university economists working on West Coast fisheries issues are not aware of any other efforts to collect this type of information on an ongoing basis. The collection of cost and revenue information is one of the top unmet data priorities of the Pacific Fishery Management Council. According to the draft West Coast Economic Data Plan, 'much of the needed economic data is unavailable or of poor quality. When the need for an economic analysis to support a particular fishery management decision becomes apparent, it is generally too late to initiate a data collection effort that can be completed in a timely fashion. Additionally, when the industry is asked to provide information in a data collection effort related to a specific controversial management issue, questions arise regarding data reliability'.

Various industry groups, (i.e., the Oregon Coastal Zone Management Association) may be collecting some of this information for their own, internal, uses. However, as these associations are affiliated with one of the user groups, which stands to benefit or lose from management decisions, there are political problems with perceived bias in the data. Controversy over the validity of the data would seriously undermine the Councils and Secretary's ability to make use of this data.

Consideration was given to using vessel revenue information from the fish ticket databases developed by the PSMFC and NMFS for the management of West Coast and Alaska fisheries, respectively. However, (1) fish tickets are not filled out for at-sea deliveries and (2) there may be end of year adjustments to revenues reported at the time of landings that are not reflected on the fish tickets. Additionally, revenues from non-West Coast fisheries are important in assessing

the degree of importance and significance of impacts on various harvesters and processors. Due to Alaska State Law confidentiality restrictions, revenue and catch information for vessels participating in fisheries off Alaska cannot be acquired from state sources for the purpose of management of lower West Coast fisheries. Therefore, this consideration was rejected as an efficient means of reducing the burden upon commercial fishermen.

**5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.**

Most of the catcher vessels and many of the processors affected by this information request are considered small business (gross receipts less than \$2 million per year and, for processors, fewer than 500 employees). The burden will be the same for all businesses, regardless of size, and has been minimized to collect only that information essential to regulatory analysis and modeling. Respondents should be able to derive the requested information from past income tax records, payroll records and fish management reporting records (including fish tickets and logbooks). No additional data aggregation by the respondents should be necessary to respond to these surveys.

One area where the burden on the industry can be reduced is in regards to the vessel or plant characteristics questions. Some of these questions request an update of data that has been collected in the past. Where available, the survey instrument will provide the information as it is currently available and asks the respondent to submit corrections as necessary.

**6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

The standards for making substantial changes in the management of a fishery require a clear demonstration that benefits will increase as a result of the change in allocation. In the absence of adequate information, failure to demonstrate a substantial improvement in benefits does not necessarily mean that such a change would not generate those benefits; it simply means that the information was not available to demonstrate change. Alternatively, partially specified indicators of benefits, such as reliance on gross revenues rather than net revenues, could lead to a change which would decrease, rather than increase, net benefits to the nation. Therefore not collecting this information could prevent or misdirect decisions and changes necessary to improve efficiency or otherwise increase the net national benefits generated from the resource. The Council and Secretary would be in the position of relying on a combination of outdated information and information biased by too small a sample size.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

These information collections are consistent with OMB guidelines.

**8. Provide a copy of the PRA Federal Register notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their**

**views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

A Federal Register Notice (copy attached) solicited a single comment. That comment as well as a letter written by Dr. Joseph Terry, NMFS/AFSC are included as Attachments L and M respectively.

With regards to contact with individuals to gather input into data collection, a number of people, both within agencies and the industry were consulted to obtain input on the types of data elements necessary and available, recordkeeping disclosures, confidentiality of the data and timing of data collection exercises. Attachment N has a partial list of contacts. In addition, in Spring, 2002 a two-day workshop was held with representatives from NMFS, PFMC, PSMFC, various Sea Grant programs, the fishing industry and others. This workshop focused on past data collection efforts with an eye toward minimizing the burden of future collections while still providing the information necessary for management purposes. A report on this workshop is being developed.

**9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.**

There are no plans to provide any payment or gift to respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.**

The survey forms will contain the following language:

Under the authority of Section 402(b) of the Magnuson-Stevens Fishery Conservation and Management Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information a person submits to the National Marine Fisheries Service or the Pacific States Marine Fisheries Commission in response to this Survey shall be considered confidential and shall not be disclosed except to: (1) Federal Employees and council employees who are responsible for Fishery Management Plan development and monitoring, (2) to state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of the identity or business of any person; (3) Pacific States Marine Fisheries Commission employees who are employed under this contract; or (4) when required by court order. The Pacific States Marine Fisheries Commission and NMFS will hold any contractors to the same standards."

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

None of the information requested in the surveys is of a sensitive nature.

**12. Provide an estimate in hours of the burden of the collection of information.**

The total burden hours are projected at 7,074 hours per year.

An estimate of expected respondents for the cost/earnings survey per year are as follows:

Fleet	Expected # respondents	Hours per respondent	Burden hours
Catcher (harvest) vessels participating on the West Coast and Alaska	1,600	3	4,800
West Coast and Alaska processors, including factory trawlers, motherships and on-shore primary plants	228	8	1,824
West coast and Alaska charter boat operators	450	1	450
Total	2,278		7,074

**13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection.**

No additional cost burdens are expected other than those addressed in questions 12 and 14.

**14. Provide estimates of annualized cost to the Federal government.**

This survey is administered by the PSMFC, and, therefore, no additional NMFS staff will be utilized other than those regularly assigned to support this collection of information mandated by law. In addition, no special or new equipment will be procured for the special purpose of conducting this information collection. The annualized cost for this project to the federal government is estimated at \$150,000-200,000 for the contract to the PSMFC to administer this data collection work.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.**

There are no changes or adjustments in Items 13 or 14 of the OMB 83-I.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

The survey results are not intended for publication for statistical use by others. The data collected will be incorporated into a database maintained by PSMFC.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

All forms will contain an OMB form approval statement, including the form approval expiration date.

**18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.**

No exceptions are noted.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

**1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local governmental units, households, or persons) in the universe and the corresponding sample are to be provided in tabular form. The tabulation must also include expected response rates for the collection as a whole. If the collection has been conducted before, provide the actual response rate achieved.**

About 5,500 vessels participate annually in commercial fisheries on the west coast. Each of the economic surveys to be conducted under this OMB authorization will involve a subset of these 5,500 vessels that will vary according to the scope of the particular survey. One of the first surveys planned will focus on vessels that use hook-and-line or pot gear to target groundfish and/or salmon. The respondent selection method and expected response rate for these surveys are described here to illustrate, in a general way, how the economic surveys will be conducted.

In order to understand the example below it is important to understand the types of data currently available to analysts. This information is critical in developing the sampling strata as well as understanding the information analysts will have at their disposal to produce the necessary management analyses.

The first component of this data is Coast Guard and state registration data. This data includes information on vessel characteristics such as vessel length, gross and net tonnages, horsepower and year built. In addition, address information for owners is available.

The second important component of this data is the landings information for individual vessels. On the West Coast, fish ticket information is available from 1981 through the present. This information has details on fishticket landing made to shoreside facilities including date, port of landing, gear used, species, fish condition codes, pounds landed, round pound equivalents and revenue received. Similar information is available for Alaskan harvesters. In addition, in Alaska, weekly information on finished product quantities is available for individual processors, both at-sea and shoreside.

Combined, these two types of information provide analysts with a rich data set with which to develop sophisticated sampling plans and ascertain the representativeness of potential respondents.

Groundfish/Salmon Example: The potential respondent universe for this survey includes the approximately 1,543 commercial fishing vessels that target groundfish/salmon with hook-and-

line or pot gear on the west coast. Survey respondents will be selected via a stratified random sampling procedure, with the strata defined as follows: (a) limited entry groundfish vessels, (b) “small” open access groundfish vessels, (c) “large” open access groundfish vessels, (d) “small” salmon vessels and (e) “large” salmon vessels. The basis for this stratification is summarized in Table B-1 and can be described as follows:

Vessels are assumed to target groundfish (salmon) if at least 5% of their annual fishing revenue is derived from groundfish (salmon). The 5% threshold is used to distinguish vessels that target groundfish (salmon) from vessels that harvest groundfish (salmon) incidentally while targeting other species. Groundfish vessels are further categorized according to whether they have a groundfish limited entry permit or are “open access” boats that are allowed to harvest small amounts of groundfish without a permit.

The terms “small” and “large” are intended to denote a vessel’s annual ex-vessel revenue rather than the size of the boat. Thus salmon and open access groundfish vessels are defined as “small” if they earned \$500-\$10,000 and “large” if they earned at least \$10,000 from their fishing activities in 2001. Limited entry groundfish vessels are lumped together, as virtually all of the limited entry fleet falls into the “large” category.

The strata are designed to be mutually exclusive. Strata 1-3 include vessels that target groundfish exclusively, as well as vessels that target both groundfish and non-groundfish species (including salmon). Strata 4-5 include vessels that target salmon exclusively, as well as vessels that target both salmon and non-salmon species (though *not* groundfish, as vessels that target both salmon and groundfish are already included in strata 1-3).

The Pacific Fishery Management Council manages the groundfish limited entry fishery, and shares management responsibility for the groundfish open access fishery with the three west coast states. The limited entry-open access distinction is intended to ensure that the sample sizes for the groundfish strata are adequate for evaluating the effects of regulations on the limited entry and open access fisheries, which are subject to different sets of regulations. Similarly the small vessel-large vessel distinction is intended to ensure that sample sizes are adequate to allow analysis of the differential effect of fishery regulations on small versus large operators. As indicated in Table B-1, the target sample size for the groundfish/salmon survey is 225. Given the expected 50% response rate, 450 vessels will need to be contacted in order to achieve the target.

**Table B-1. Proposed stratification for survey of west coast commercial groundfish/salmon hook-and-line/pot vessels, and population and sample sizes by stratum.**

Stratum Characteristic	Strata					Total
	<u>LE Grdfish</u>	<u>OA Grdfish Small</u>	<u>OA Grdfish Large</u>	<u>Salmon Small</u>	<u>Salmon Large</u>	
% Revenue from H&L/Pot Grdfish	>=5%	>=5%	>=5%	<5%	<5%	
% Revenue from H&L Salmon				>=5%	>=5%	
Groundfish LE/OA?	LE	OA	OA	OA	OA	
2001 Revenue from All Species	>=\$10K	>\$500,<\$10K	>=\$10K	>\$500,<\$10K	>=\$10K	
Population Size <sup>1</sup>	158	313	271	373	428	1,543
Target Sample Size	41	65	42	49	28	225
# Contacts Needed to Achieve Target Sample Size <sup>2</sup>	82	130	84	98	56	450

<sup>1</sup> Data source: PacFIN Research Database.

<sup>2</sup> Based on assumed response rate of 50%.

**2. Describe the procedures for the collection, including: the statistical methodology for stratification and sample selection; the estimation procedure; the degree of accuracy needed for the purpose described in the justification; any unusual problems requiring specialized sampling procedures; and any use of periodic (less frequent than annual) data collection cycles to reduce burden.**

The sample selection protocol and statistical methodology that will be used in the economic surveys covered by this OMB authorization can be illustrated in the context of the aforementioned groundfish/salmon survey. As indicated above, the sample for the groundfish/salmon survey will be selected according to a stratified random sampling procedure. The target sample size in each stratum was determined in the following manner: A major objective of the groundfish/salmon survey is to obtain vessel-specific information on annual fixed costs as well as vessel- and trip-specific information on crew share and other variable costs. Major components of cost (e.g., crew share, fuel, galley, gear, vessel maintenance) vary with time at sea; thus annual fishing costs are likely to be correlated with the number of trips made by the vessel during the year. Given the lack of prior information on annual costs per vessel, the target sample size for each stratum was therefore based on mean and variance estimates for annual number of trips per vessel. Specifically, the target sample size for each stratum reported in Table B-2 represents the number of observations needed to estimate mean number of trips per year per vessel (as a proxy for mean cost per vessel) within 20% of the true mean value with 95% probability. The formulas used to derive the sample size estimates are included in the footnotes of the table.

Survey data will be used - in combination with other data sources - (a) to assess the economic status of fisheries, (b) to conduct regulatory analyses that describe the effects of regulations on the fishery, and (c) to estimate behavioral models that provide insights into the nature and extent of management problems (e.g., overcapacity) or predict industry response to changes in regulations.

No unusual problems are anticipated that would require specialized sampling procedures.

Efforts will be made to reduce burden associated with the frequency of data collection as follows:

- a. The surveys to be conducted under this OMB authorization will be rotated among different fisheries from one year to the next, depending on management needs. At most, participants in any given fishery (depending on whether their vessel comes up in the random draw) will be surveyed once during the year in which their fishery is targeted and will not be surveyed again until their fishery appears again the rotation. The expectation is that a fishery will appear in the rotation only once every 3-4 years. This approach will ensure coverage of the different fisheries for which economic data are lacking, while minimizing the burden on participants in any one of those fisheries.
- b. Many vessels participate in multiple fisheries. Therefore, in situations where it is appropriate, surveys will be designed to cover predominant combinations of fisheries rather than single fisheries. Economists and fishery managers will want the data collected in this manner anyway,



in order to better understand the economic effect of restrictions in one fishery in terms of the alternative opportunities available to the vessels in other fisheries. Focusing surveys on predominant fishery combinations will also reduce respondent burden, as it will help to avert situations where a vessel is surveyed one year regarding one of its fishery activities and the next year regarding another activity. The groundfish/salmon survey is an example of a survey that is intended to cover a range of fishing opportunities for a particular segment of the fleet (in this case hook-and-line and pot vessels).

**Table B-2. Derivation of sample size estimates for survey of west coast commercial groundfish/salmon hook-and-line/pot vessels.<sup>1</sup>**

Stratum	$N_i$	$\bar{Y}_{bar_i}$	$SD(\bar{Y}_{bar_i})$	$n_{oi}$	$n_i$	# contacts needed to achieve $n_i$
LE grdfish	158	38.9	29.5	55	41	82
OA grdfish small	313	16.3	15.0	81	65	130
OA grdfish large	271	47.2	34.0	50	42	84
Salmon small	373	11.9	9.1	56	49	98
Salmon large	428	27.7	15.6	30	28	56
Total	1,543			273	225	450

where

$N_i$  = population size in stratum i,

$\bar{Y}_{bar_i}$  = mean number of fishing trips per vessel in stratum i in 2001 (as proxy for mean cost per vessel),

$SD(\bar{Y}_{bar_i})$  = standard deviation of  $\bar{Y}_{bar_i}$ ,

$n_{oi}$  (first approximation to  $n_i$ ) =  $\{[1.96*SD(\bar{Y}_{bar_i})]/[20\%*\bar{Y}_{bar_i}]\}^2$   
 20% being the maximum error acceptable for  $\bar{Y}_{bar_i}$ , and  
 1.96 being the t-value consistent with a 95% probability of estimating  $\bar{Y}_{bar_i}$  within 20% of its true value.

$n_i$  (sample size for stratum i, obtained by applying finite population correction factor to  $n_{oi}$ )  
 $= n_{oi}/[1+(n_{oi}/N_i)]$ ,

# contacts in stratum i needed to achieve  $n_i = n_i/0.5$ , is based on a predicted survey response rate of 50%.

<sup>1</sup> Sample size estimation procedure based on: Cochran, William G. 1977. *Sampling Techniques*. John Wiley & Sons: New York, pp. 77-78.

**3. Describe the methods used to maximize response rates and to deal with nonresponse. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses. For collections based on sampling, a special justification must be provided if they will not yield “reliable” data that can be generalized to the universe studied.**

In order to enhance response rates and ensure data quality, all economic surveys conducted under this OMB authorization will be planned in close consultation with industry representatives.

Industry input will be solicited regarding a variety of issues, including the following:

- a. best way to introduce the survey to potential respondents,
- b. preferred elicitation method (e.g., mail questionnaires, telephone or in-person interviews),
- c. best person to provide survey information (e.g., skipper, vessel owner, vessel owner’s accountant) and how to facilitate that person’s cooperation,
- d. types of data confidentiality assurances needed to make industry comfortable with survey,
- e. best time of year to conduct survey,
- f. types of data that may be considered “sensitive” and ways to overcome sensitivity,
- g. questionnaire formats and data formats that make it easier for respondents to answer survey questions,
- h. most effective way to follow up with people who do not respond to initial solicitation,
- i. most effective ways to communicate survey results back to the industry.

Given that the economic surveys will be based on sampling protocols with an expected response rate of 50%, survey results will be compared with other existing commercial fishery data sources to ensure that the results are representative of the population being studied. PacFIN is an ongoing data collection program that maintains information on all west coast commercial landings and revenue from 1981 to the present. PacFIN allows individual vessel activity to be characterized in terms of landings and revenues by species, gear, port and date. PacFIN can also be linked to Coast Guard data files that contain information on vessel characteristics such as length and gross tonnage. The population information contained in the PacFIN and Coast Guard databases will facilitate generalization of survey results to the universe of vessels. Comparisons of these two data sources with the survey data will be made to determine whether survey samples are representative of the population and to devise methods for correcting for whatever sampling biases are found to exist.

**4. Describe any tests of procedures or methods to be undertaken. Tests are encouraged as an effective means to refine collections, but if ten or more test respondents are involved OMB must give prior approval.**

All surveys conducted under this OMB authorization will be subject to pretest involving fewer than ten respondents. As part of the pretest, representatives from the fishery being surveyed will be asked to complete a draft version of the questionnaire and to provide feedback regarding the clarity and completeness of the questionnaire and suggestions regarding how the survey can be improved. For the groundfish/salmon survey, the draft survey questionnaire will be pretested on three limited entry groundfish vessels, three open access groundfish vessels and three salmon vessels.

**5. Provide the name and telephone number of individuals consulted in the statistical aspects of the design, and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.**

The Pacific States Marine Fisheries Commission will be responsible for data collection. Economists at the National Marine Fisheries Service (NMFS) and Pacific Fishery Management Council will be responsible for the data analysis. Cindy Thomson (831-420-3911), a NMFS economist, was consulted in the statistical aspects of the design for the groundfish/salmon fixed gear survey described above.

Analysts include:

- West coast NMFS economists, Steve Freese (206) 526-6113; Jim Hastie (206) 860-3412; Cindy Thomson (831) 420-3911, and Wes Silverthorne (707) 575-6087
- Alaska NMFS economists: Joe Terry (206) 526-4253, Ron Felthoven (206) 526-4114, Lew Queirolo (360) 387-4652
- PFMC economist Jim Seger (503) 820-2280, Ed Waters (503) 820-2280
- NPFMC economists: Darrell Brannan (352) 466-0335, Mike Fina (907) 271-2809

**Attachment A - Magnuson-Stevens Fishery Conservation and Management Act**  
Public Law 94-265  
As amended through October 11, 1996

SEC. 303. CONTENTS OF FISHERY MANAGEMENT PLANS 16 U.S.C. 1853

95-354, 99-659, 101-627, 104-297

- (a) REQUIRED PROVISIONS.--Any fishery management plan which is prepared by any Council, or by the Secretary, with respect to any fishery, shall-
- (2) contain a description of the fishery, including, but not limited to, the number of vessels involved, the type and quantity of fishing gear used, the species of fish involved and their location, the cost likely to be incurred in management, actual and potential revenues from the fishery, any recreational interest in the fishery, and the nature and extent of foreign fishing and Indian treaty fishing rights, if any;

## **Attachment B - Pacific Fishery Management Council Pacific Coast Groundfish Plan**

### **6.2.3 Non-Biological Issues--The Socio-Economic Framework**

From time to time non-biological issues may arise which require the Council to recommend management actions to address certain social or economic issues in the fishery. Resource allocation, seasons, or landing limits based on market quality and timing, safety measures, and prevention of gear conflicts make up only a few examples of possible management issues with a social or economic basis. In general, there may be any number of situations where the Council determines that management measures are necessary to achieve the stated social and/or economic objectives of the FMP.

Either on its own initiative or by request, the Council may evaluate current information and issues to determine if social or economic factors warrant imposition of management measures to achieve the Council's established management objectives. Actions that are permitted under this framework include all of the categories of actions authorized under the "points of concern" frame-work with the addition of direct resource allocation.

If the Council concludes that a management action is necessary to address a social or economic issue, it will prepare a report containing the rationale in support of its conclusion. The report will include the proposed management measure, a description of other viable alternatives considered, and an analysis that addresses the following criteria: (a) how the action is expected to promote achievement of the goals and objectives of the FMP; (b) likely impacts on other management measures and other fisheries; (c) biological impacts; (d) economic impacts, particularly the cost to the fishing industry; and (e) how the action is expected to accomplish at least one of the following:

1. enable a quota, harvest guideline, or allocation to be achieved;
2. avoid exceeding a quota, harvest guideline, or allocation;
3. extend domestic fishing and marketing opportunities as long as practicable during the fishing year, for those sectors for which the Council has established this policy;
4. maintain stability in the fishery by continuing management measures for species that previously were managed under the points of concern mechanism;
5. maintain or improve product volume and flow to the consumer;
6. increase economic yield;
7. improve product quality;
8. reduce anticipated discards;
9. reduce gear conflicts, or conflicts between competing user groups;
10. develop fisheries for underutilized species with minimal impacts on existing domestic fisheries;
11. increase sustainable landings;
12. increase fishing efficiency;
13. maintain data collection and means for verification;
14. maintain or improve the recreational fishery; or,
15. any other measurable benefit to the fishery.

The Council, following review of the report, supporting data, public comment and other relevant information, may recommend management measures to the NMFS Regional Director accompanied by relevant background data, information and public comment. The recommendation will explain the urgency in implementation of the measure(s), if any, and reasons therefore.

The NMFS Regional Director will review the Council's recommendation, supporting rationale, public comments and other relevant information, and, if it is approved, will undertake the appropriate method of implementation. Rejection of the recommendation will be explained in writing.

The procedures specified in this chapter do not affect the authority of the Secretary to take emergency regulatory action as provided for in Section 305(e) of the MFCMA if an emergency exists involving any groundfish resource, or to take such other regulatory action as may be necessary to discharge the Secretary's responsibilities under Section 305(g) of the MFCMA.

If conditions warrant, the Council may designate a management measure developed and recommended to address social and economic issues as a "routine" management measure provided that the criteria and procedures in Section 6.2.1 are followed.

Quotas, including allocations, implemented through this framework will be set annually and may be modified inseason only to reflect technical corrections of ABC. (In contrast, quotas may be imposed at any time of year for resource conservation reasons under the points of concern mechanism.)

#### 6.2.3.1 Allocation

In addition to the requirements described in Section 6.2.3, the Council will consider the following factors when intending to recommend direct allocation of the resource:

- a. present participation in and dependence on the fishery, including alternative fisheries;
- b. historical fishing practices in, and historical dependence on, the fishery;
- c. the economics of the fishery;
- d. any consensus harvest sharing agreement or negotiated settlement between the affected participants in the fishery;
- e. potential biological yield of any species or species complex affected by the allocation;
- f. consistency with the MFCMA national standards;
- g. consistency with the goals and objectives of this FMP.

The modification of a direct allocation cannot be designated as "routine" unless the specific criteria for the modification have been established in the regulations.

**Attachment C - The National Environmental Policy Act of 1969, as amended:**

(Pub. L. 91-190, 42 U.S.C. 4321-4347, January 1, 1970, as amended by Pub. L. 94-52, July 3, 1975, Pub. L. 94-83, August 9, 1975, and Pub. L. 97-258, § 4(b), Sept. 13, 1982)

Sec. 102 [42 USC § 4332]. The Congress authorizes and directs that, to the fullest extent possible: (1) the policies, regulations, and public laws of the United States shall be interpreted and administered in accordance with the policies set forth in this Act, and (2) all agencies of the Federal Government shall B

- (A) utilize a systematic, interdisciplinary approach which will insure the integrated use of the natural and social sciences and the environmental design arts in planning and in decisionmaking which may have an impact on man's environment;
- (B) identify and develop methods and procedures, in consultation with the Council on Environmental Quality established by title II of this Act, which will insure that presently unquantified environmental amenities and values may be given appropriate consideration in decisionmaking along with economic and technical considerations;
- (C) include in every recommendation or report on proposals for legislation and other major Federal actions significantly affecting the quality of the human environment, a detailed statement by the responsible official on B
  - (i) the environmental impact of the proposed action,
  - (ii) any adverse environmental effects which cannot be avoided should the proposal be implemented,
  - (iii) alternatives to the proposed action,
  - (iv) the relationship between local short-term uses of man's environment and the maintenance and enhancement of long-term productivity, and
  - (v) any irreversible and irretrievable commitments of resources which would be involved in the proposed action should it be implemented.

## **Attachment D - Executive Order #12866: Regulatory Planning and Review**

Date: June, 1994

### Section 1. Statement of Regulatory Philosophy and Principles.

- a. **The Regulatory Philosophy.** Federal agencies should promulgate only such regulations as are required by law, are necessary to interpret the law, or are made necessary by compelling public need, such as material failures of private markets to protect or improve the health and safety of the public, the environment, or the well-being of the American people. In deciding whether and how to regulate, agencies should assess all costs and benefits of available regulatory alternatives, including the alternative of not regulating. Costs and benefits shall be understood to include both quantifiable measures (to the fullest extent that these can be usefully estimated) and qualitative measures of costs and benefits that are difficult to quantify, but nevertheless essential to consider. Further, in choosing among alternative regulatory approaches, agencies should select those approaches that maximize net benefits (including potential economic, environmental, public health and safety, and other advantages; distributive impacts; and equity), unless a statute requires another regulatory approach.
- b. **The Principles of Regulation.** To ensure that the agencies' regulatory programs are consistent with the philosophy set forth above, agencies should adhere to the following principles, to the extent permitted by law and where applicable:
  7. Each agency shall base its decisions on the best reasonably obtainable scientific, technical, economic, and other information concerning the need for, and consequences of, the intended regulation.



## Attachment E - Oregon Revised Statutes

### Chapter 183

#### Civil Penalties, Administrative Procedures and Rules of State Agencies

**183.335** Notice; content; public comment; temporary rule adoption, amendment or suspension; substantial compliance required. (1) Prior to the adoption, amendment or repeal of any rule, the agency shall give notice of its intended action:

(a) In the manner established by rule adopted by the agency under ORS 183.341 (4), which provides a reasonable opportunity for interested persons to be notified of the agency's proposed action;

(b) In the bulletin referred to in ORS 183.360 at least 21 days prior to the effective date; and

(c) At least 28 days before the effective date, to persons who have requested notice pursuant to subsection (7) of this section and to the persons specified in subsection (14) of this section.

(2)(a) The notice required by subsection (1) of this section shall state the subject matter and purpose of the intended action in sufficient detail to inform a person that the person's interests may be affected, and the time, place and manner in which interested persons may present their views on the intended action.

(b) The agency shall include with the notice of intended action given under subsection (1) of this section:

(E) A statement of fiscal impact identifying state agencies, units of local government and the public which may be economically affected by the adoption, amendment or repeal of the rule and an estimate of that economic impact on state agencies, units of local government and the public. In considering the economic effect of the proposed action on the public, the agency shall utilize available information to project any significant economic effect of that action on businesses which shall include a cost of compliance effect on small businesses affected. For an agency specified in ORS 183.530, the statement of fiscal impact shall also include a housing cost impact statement as described in ORS 183.534;

**183.540** Reduction of economic impact on small businesses. When the economic effect analysis shows that the rule has a significant adverse effect upon small business and, to the extent consistent with the public health and safety purpose of the rule, the agency shall reduce the economic impact of the rule on small business by:

(1) Establishing differing compliance or reporting requirements or time tables for small business;

(2) Clarifying, consolidating or simplifying the compliance and reporting requirements under the rule for small business;

(3) Utilizing objective criteria for standards; or

(4) Exempting small businesses from any or all requirements of the rule. [1981 c.755 s.4]

**183.545** Review of rules to minimize economic effect on businesses. Each agency periodically, but not less than every three years, shall review all rules that have been issued by the agency. The review shall include an analysis to determine whether such rules should be continued without change or should be amended or rescinded, consistent with the stated objectives of applicable statutes, to minimize the economic effect on businesses and the effect due to size and type of business. [1981 c.755s.5]

## **Attachment F - Alaska Revised Code**

### **Chapter 16.05. FISH AND GAME CODE**

#### **Sec. 16.05.020.** Functions of commissioner.

The commissioner shall:

- (1) supervise and control the department, and may appoint and employ division heads, enforcement agents, and the technical, clerical, and other assistants necessary for the general administration of the department;
- (2) manage, protect, maintain, improve, and extend the fish, game and aquatic plant resources of the state in the interest of the economy and general well-being of the state;
- (3) have necessary power to accomplish the foregoing including, but not limited to, the power to delegate authority to subordinate officers and employees of the department.

#### **Sec. 16.05.251.** Regulations of the Board of Fisheries.

(e) The Board of Fisheries may allocate fishery resources among personal use, sport, guided sport, and commercial fisheries. The board shall adopt criteria for the allocation of fishery resources and shall use the criteria as appropriate to particular allocation decisions. The criteria may include factors such as

- (1) the history of each personal use, sport, guided sport, and commercial fishery;
- (2) the number of residents and nonresidents who have participated in each fishery in the past and the number of residents and nonresidents who can reasonably be expected to participate in the future;
- (3) the importance of each fishery for providing residents the opportunity to obtain fish for personal and family consumption;
- (4) the availability of alternative fisheries resources;
- (5) the importance of each fishery to the economy of the state;
- (6) the importance of each fishery to the economy of the region and local area in which the fishery is located;
- (7) the importance of each fishery in providing recreational opportunities for residents and nonresidents.

**WEST COAST CATCHER VESSEL IDENTIFICATION SHEET****Person completing the survey**

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

FAX: \_\_\_\_\_

e-mail address: \_\_\_\_\_

Vessel Identification, Ownership and Permit information

1. Please verify the information about the *primary owner* of this vessel.

Item	Information on record	Corrections/Additions
a. Name		
b. Address		
c. City/State/Zip		

If all of the above information is correct, please check (✓) this box ☐.2. Please verify the information about the *primary contact* for operations of this vessel.

Item	Information on record	Corrections/Additions
a. Name	Not available, please provide →	
b. Address		
c. City/State/Zip		

If all of the above information is correct, please check (✓) this box ☐.

3. Please verify the following information about this vessel.

Item	Information on record	Corrections/Additions
a. USCG vessel ID		
b. State vessel ID		
c. Vessel name		
d. Home port		
e. Gross registered tons		
f. Length overall		
g. Beam		
h. Shaft horsepower		
i. Fuel capacity (gallons)	Not available, please provide →	
j. Hull type		
k. Year built		
l. Number of berths	Not available, please provide →	

If all of the above information is correct, please check (✓) this box ☐.

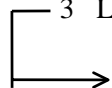
For Office Use Only	Survey #	Rec'd _____	Ent'd _____	OSU _____
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4. Does the entity that operates this vessel own or lease this vessel? (*Circle one number*)

1 NEITHER OWN NOR LEASE (*Skip to Question Number 4*)

2 OWN (*Skip to Question Number 4*)

3 LEASE



4a. For how many months did it lease this vessel in 1997 and 1998?

\_\_\_\_\_ MONTHS IN 1997      \_\_\_\_\_ MONTHS IN 1998

5. Does a processor to which this vessel delivered catch in 1997 or 1998 own this vessel or partly own this vessel? (*Circle one number for each year*)

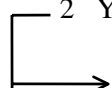
	PROCESSOR <u>OWNS</u>	PROCESSOR PARTLY <u>OWNS</u>	PROCESSOR DOES NOT <u>OWN</u>
a. 1997.....	1	2	3
b. 1998 .....	1	2	3

***If you own all or part of this vessel please go on to question number 6. Otherwise, please skip now to question number 7.***

6. To better protect the confidentiality of cost and revenue information about this vessel we need to collect information about other boats that you may own. Does the entity that owns this vessel, also own other fishing vessels? (*Circle one number*)

1 NO (*Skip to Question 7*)

2 YES



6a. For the other vessels, please give the USCG and state vessel ID and the vessel name.

USCG VESSEL ID	STATE VESSEL ID	VESSEL NAME
a. _____	b. _____	c. _____
d. _____	e. _____	f. _____
g. _____	h. _____	i. _____

7. For each state and federal limited access permit/license the vessel holds, please provide a description of the license and, if transferable, your estimate of its market value at the beginning of 1998. If you don't know the market value, please tell us by circling "Don't Know". For state permits, please indicate the issuing state.

DESCRIPTION	MARKET VALUE	
a. Groundfish limited entry permit	\$ _____	DON'T KNOW
b. State crab permit WA / OR / CA	\$ _____	DON'T KNOW
c. State shrimp permit WA / CA / OR	\$ _____	DON'T KNOW
Other (specify)		
d. _____	\$ _____	DON'T KNOW
e. _____	\$ _____	DON'T KNOW
f. _____	\$ _____	DON'T KNOW
g. _____	\$ _____	DON'T KNOW
h. _____	\$ _____	DON'T KNOW

**(PLEASE GO ON TO MAIN SURVEY)**

***Vessel Characteristics***

1. What is the maximum pounds of fish and live fish this vessel can safely deliver per trip?

a. \_\_\_\_\_ LBS. OF FISH

b. \_\_\_\_\_ LBS. OF LIVE FISH

2. Please indicate whether or not the vessel has each of the following storage facilities:

*(Circle one number for each)*

	<u>YES</u>	<u>NO</u>
a. Freezer Hold .....	1	2
b. Live Fish/Crab Hold .....	1	2
c. Ice Hold .....	1	2
d. RSW .....	1	2

3. For each of the following activities, please give the average fuel consumption of the vessel per hour during 1998. If not applicable, please write "NA".

ACTIVITY	GALLONS PER HOUR
a. Trawling	
b. Crabbing	
c. Shrimping	
d. Steaming – fully loaded with fish	
e. Steaming – empty	

4. What was the starting date of this vessel's 1998 fiscal year?

(\_\_\_\_/\_\_\_\_/\_\_\_\_) (mm/dd/yy) STARTING DATE OF 1998 FISCAL YEAR

5. If the vessel's fiscal year changed in 1997, 1998 or 1999, please check this box ☐.

6. What was the most recent survey value (fair market value) of this vessel, rounded to the nearest 100 dollars, and survey date?

6a. US \$ \_\_\_\_\_ SURVEY VALUE      6b. (\_\_\_\_/\_\_\_\_/\_\_\_\_) (mm/dd/yy) DATE OF SURVEY

7. Does the survey value shown above reflect the value of permits and moratorium qualifications associated with the vessel at the time of the survey? *(Circle one number)*

1 YES

2 NO

8. What was the insured value, rounded to the nearest 100 dollars, of this vessel and all on-board equipment in fiscal year 1998, excluding permits and licenses?

US \$ \_\_\_\_\_ 1998 INSURED VALUE

**(PLEASE TURN THE PAGE)**

**For Office Use Only      Survey #**

## ***Expenditures***

9. For each of the expense categories below, first provide the total annual expenditures for fiscal year 1997 and then the amount attributable to each month. Then provide this information for 1998. Please record the information in the month that the cost was incurred. If you were ***not active*** during a month, please circle that month. If you do not maintain an expenditure category by month please provide those expenditures that are tracked monthly. Round all answers to the nearest 100 dollars.

<b>FISCAL YEAR 1997 EXPENSE CATEGORY</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>
a. Fishery permit leasing and catch quota purchases					
b. Payments to skipper (including bonuses and payroll taxes but excluding benefits and insurance)					
c. Crew wages/crew shares (including bonuses and payroll taxes but excluding benefits and insurance)					
d. Fuel and lube					
e. Landing taxes paid					
f. Ice					
g. Food and provisions					
h. Bait					

<b>FISCAL YEAR 1998 EXPENSE CATEGORY</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>
a. Fishery permit leasing and catch quota purchases					
b. Payments to skipper (including bonuses and payroll taxes but excluding benefits and insurance)					
c. Crew wages/crew shares (including bonuses and payroll taxes but excluding benefits and insurance)					
d. Fuel and lube					
e. Landing taxes paid					
f. Ice					
g. Food and provisions					
h. Bait					

**(GO ON TO NEXT PAGE)**

**Question 9 - continued.**

1997 continued							
MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

1998 continued							
MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

**(PLEASE TURN THE PAGE)**



10. Please provide the total **capitalized expenditures** associated with each of the following categories for this vessel for fiscal years 1997 and 1998. Round all answers to the nearest 100 dollars.

CAPITALIZED EXPENDITURE	1997 (US\$)	1998 (US\$)
a. Purchases of fishery permits and licenses (capitalized)		
b. Fishing gear (nets, net electronics, doors, cables, etc.)		
c. Expenditures on vessel and on-board equipment (other than fishing gear)		
d. Other capital expenditures related to vessel operations		

11. In the table below, please provide the total expenses associated with the following categories for fiscal years 1997 and 1998. **Do not include expenditures that were expenses listed in question 9 (pages 2 and 3) or capitalized above in question 10.** Round all answers to the nearest 100 dollars.

EXPENSE CATEGORY	1997 FISCAL YEAR EXPENSES (US\$)	1998 FISCAL YEAR EXPENSES (US \$)
a. Lease expenses for this vessel and all on-board equipment		
b. Repair and maintenance expenses for vessel and equipment (including shipyard accrual and purchases of parts and equipment that were expensed in each fiscal year)		
c. Fishing gear leases, repairs and purchases fully expensed in each fiscal year (e.g., nets, net electronics, doors, cables, etc.)		
d. Insurance (vessel insurance, P&I, and other insurance associated with operation of the vessel)		
e. Recruitment, travel, benefits and other employee related costs (excluding food and provisions and other employee expenses included in question 9)		
f. General and Administrative (including professional services and management fees)		
g. CCF contributions		
h. Income taxes associated with this vessel		
i. Interest payments associated with this vessel		
j. Depreciation and amortization		
k. All other expenses associated with this vessel not included in questions 9 or 10 above		

(GO ON TO NEXT PAGE)

## ***Fishery Participation and Revenues***

12. During either 1997 or 1998, did this vessel participate in fisheries that were not West Coast fisheries? (Circle one number)

1 NO (Skip to Question number 13)

2 YES

→ 12a. Please tell us the location of these non-West Coast fisheries and give the beginning and ending dates (mm/yy) in which you were active in these fisheries. Also provide revenue estimates (rounded to the nearest 100 dollars) and typical crew size (including skipper).

Fishery Name/Location	Start date (mm/yy)	End date (mm/yy)	Landings Revenue (US\$)	Typical crew
a.	/	/		
b.	/	/		
c.	/	/		
d.	/	/		

13. For each fishery in which this vessel participated in 1998, please provide the typical trip length in days and the typical crew size (including skipper).

1998	Typical Trip days	Typical Crew Size
a. Whiting shoreside		
b. Whiting at-sea		
c. DTS		
d. Slope Rockfish		
e. Shelf Rockfish		
f. Near shore flatfish		

1998	Typical Trip days	Typical Crew Size
g. Crab		
h. Shrimp		
Other (specify)		
i.		
j.		
k.		

14. Excluding revenues for which there is a West Coast fish ticket and revenues reported in question 12, please give the total amount of revenue received in fiscal years 1997 and 1998 (rounded to the nearest 100 dollars) for each of the following categories for this vessel:

Revenue Category	1997 (\$)	1998 (\$)
a. Income derived from leasing of permits or catch rights normally associated with this vessel (exc. fish tickets)		
b. All other income derived from other vessel operation (e.g. tendering, charters)		

(PLEASE TURN THE PAGE)

**Other**

15. Please give the total dollar amount of gear lost in 1997 by gear type and then the dollar amount lost in each month. Record lost gear value in the month of loss, not the month of replacement. Give this same information for 1998.

<b>1997</b>	<b>Value of Gear Lost</b>					
<b>Gear Type</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>	<b>MAY</b>
a. Trawl						
b. Pot						
c. Net						
d. Line						
e. Other						

<b>1997 continued</b>		<b>Value of Gear Lost</b>				
<b>JUN</b>	<b>JUL</b>	<b>AUG</b>	<b>SEP</b>	<b>OCT</b>	<b>NOV</b>	<b>DEC</b>

**Question 15 continued.**

<b>1998</b>	<b>Value of Gear Lost</b>					
<b>Gear Type</b>	<b>TOTAL</b>	<b>JAN</b>	<b>FEB</b>	<b>MAR</b>	<b>APR</b>	<b>MAY</b>
a. Trawl						
b. Pot						
c. Net						
d. Line						
e. Other						

<b>1998 continued</b>		<b>Value of Gear Lost</b>				
<b>JUN</b>	<b>JUL</b>	<b>AUG</b>	<b>SEP</b>	<b>OCT</b>	<b>NOV</b>	<b>DEC</b>

(GO ON TO NEXT PAGE)

16. In the table below, please estimate your average monthly per gallon fuel prices in 1998 for this vessel.

1998	Estimated price per gallon of fuel					
	JAN	FEB	MAR	APR	MAY	JUN
Price/gallon of Fuel						

1998 continued	Estimated price per gallon of fuel					
	JUL	AUG	SEP	OCT	NOV	DEC
Price/gallon of Fuel						

17. Does this vessel use a crew share system to pay its crew? (*Circle one number*)

1 NO (*Please turn the page*)

2 YES



17a. In the West Coast groundfish fisheries, which of the following expenses were subtracted from your total revenues (gross stock) before calculating the crew share? (*Circle one number for each*)

	<u>DEDUCTED</u>	<u>NOT DEDUCTED</u>
a. Fuel and Lube .....	1	2
b. Food .....	1	2
c. Fish landings taxes .....	1	2
d. Other (specify) _____	1	2
e. Other (specify) _____	1	2

17b. In the West Coast groundfish fisheries, what percentage of the net share (gross stock minus the expenses indicated above in 17a) goes to:

a. Boat share ..... %

b. Crew share (including skipper) ..... %

(PLEASE TURN THE PAGE)

**Thank you for your time and cooperation. Please feel free to provide comments about the survey below. To help us understand problems you may have had with the questions and to help us collect this information in the future more easily and efficiently, let us know which questions were particularly troublesome.**

**Alternatively, if you have questions about the survey and would like to talk to me directly please feel free to call me at (206) 526-4251 or toll-free at (888) 421-4251. I can also be reached via e-mail at [dave\\_colpo@psmfc.org](mailto:dave_colpo@psmfc.org).**

**In the event that the return envelope has been lost or misplaced, the completed survey and comments can be returned to me at:**

**Dave Colpo  
7600 Sand Point Way NE. - Building 4  
Seattle, WA 98115-0070**

It is very important that you understand that this is a voluntary survey. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The OMB Control Number for this survey is OMB Control #0648-0369 and expires 04/30/2002.

While this is a voluntary survey, this information is needed to respond to requirements of the Magnuson-Stevens Fishery Conservation and Management Act. In accordance with Section 402(b), the Regulatory Flexibility Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information submitted to NMFS by any person in response to this survey shall be considered confidential and shall not be disclosed except to: (1) federal employees and council employees who are responsible for fishery management plan development and monitoring; (2) state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of this information; or (3) when required by court order.

Public burden for this collection of information is estimated at 2 hours per survey, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing the survey. Send comments regarding this burden estimate or any other aspect of this data collection, including suggestion for reducing the burden, to: Dave Colpo, Pacific States Marine Fisheries Commission, 7600 Sand Point Way NE, Bldg. 4, Seattle, WA 98115-0070.

**(THANK YOU FOR YOUR COOPERATION)**

## **Instructions for West Coast Catcher Vessel Survey**

These surveys are designed to collect information on individual vessels even if this vessel is part of a larger company. While the first year of the surveys is focussing on the groundfish limited entry trawlers, information on all aspects of your operation, not just trawling for groundfish, is being requested. For example, if, besides trawling for groundfish, you also fished for crab in 1997 or 1998, information about this harvest is essential and should be reported. The intent is to enable analysts to evaluate all activities of a vessel as a stand-alone entity. If this vessel is part of a larger company with multiple vessels or other operations we request that you report in the survey only costs and revenues that are clearly allocable to this vessel. If this vessel is part of a larger company, surveys have also been sent to the other vessels.

This survey is divided into 5 separate components: Vessel Identification, Ownership and Permit Information section, a Vessel Characteristics section, an Expenditures section, a Fishery Participation and Revenues section and finally an 'Other' section. These sections are described below.

### **Vessel Identification, Ownership and Permit Information Section**

The first component is on the loose double-sided sheet. This single sheet identifies you and the vessel about which you are providing information. As noted in the cover letter, this sheet should be returned with the survey booklet and will be retained by my office. This section includes questions about the physical attributes of the vessel, the company that operated it in 1997 and 1998, permits held as well as contacts information in case we have questions about your responses.

Question 3 on page 1 sometimes has more than one value for an entry. For instance, we may have 2 different gross registered ton values for this vessel. This usually comes from having a conflicting numbers in the Coast Guard and Washington, Oregon and California registration files. When this happens, we provide all values. Please circle the correct value listed or if both values are incorrect please provide the correct value.

### **Vessel Characteristics Section**

This section starts on the first page of the survey booklet. This section has questions on some of the operating characteristics of the vessel as well as information about the value of the vessel in 1998.

### **Expenditures Section**

The Expenditures section of the survey starts on page 2 of the booklet. The first table is a 2-page table on pages 2 and 3. This table asks for annual and monthly information on 7 different expenditure categories. It is important that this cost information be provided in the month that the cost was incurred, which may not necessarily be the month in which the cost was actually paid. Providing a monthly breakdown of these costs allows analysts to more closely track the expenditures you incurred with the activity for that month as shown on your fishtickets. Finally, if you were not active in a month, please indicate this by circling the appropriate month.

Page 4 has a table for capital expenses and one for other expenses. We ask that you separate out capital expenditures from other expenses in the same way that you do for accounting purposes so that the total expenses listed in the survey will be in accord with your own financial records. For both capital expenditures and expenses we request the total expenditures for the fiscal year. These 3 expenditure tables were written such that there should be no overlap between the data in these tables.

The Fishery Participation and Revenues section starts on page 5 of the booklet. This section asks for information in which fisheries, West Coast and other, you were active. In addition, questions about average crew size, day of trip length and revenues from non-West Coast fisheries are asked.

### **Other section**

This last section starts on page 6. There are 2 tables and a question in this section. The first table asks about information on the value of lost gear. This question pertains to all fishing gear lost by this vessel in 1997 or 1998, not just trawl related losses. As with the cost questions above, please report gear losses in the month that they occurred not the month you replaced the gear. The second table of this section asks about fuel prices in 1998. This information will allow analysts to track trends in fuel prices over time. The Commission is currently collecting this information, but that effort did not start until this year. The final question of this section pertains to crew shares and the formula used to calculate them.

It is very important that you understand that this is a voluntary survey. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The OMB Control Number for this survey is OMB Control #0648-0369 and expires 04/30/2002.

While this is a voluntary survey, this information is needed to respond to requirements of the Magnuson-Stevens Fishery Conservation and Management Act. In accordance with Section 402(b), the Regulatory Flexibility Act and NOAA Administrative Order 216-100, "Confidentiality of Fishery Statistics", any information submitted to NMFS by any person in response to this survey shall be considered confidential and shall not be disclosed except to: (1) federal employees and council employees who are responsible for fishery management plan development and monitoring; (2) state employees pursuant to an agreement with the Secretary of Commerce that prevents public disclosure of this information; or (3) when required by court order.

Public burden for this collection of information is estimated at 2 hours per survey, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing the survey. Send comments regarding this burden estimate or any other aspect of this data collection, including suggestion for reducing the burden, to: Dave Colpo, Pacific States Marine Fisheries Commission, 7600 Sand Point Way NE, Bldg. 4, Seattle, WA 98115-0070.

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

Within the next week you will receive a request to complete a questionnaire we are conducting of West Coast limited entry groundfish trawlers. This survey will be used to collect cost, earnings and employment information about your vessel. This information will help us gain a better understanding of how various factors can affect the value of the fishery and will provide valuable input into the management decision making process.

The Pacific States Marine Fisheries Commission is administering this survey under a cooperative agreement with the National Marine Fisheries Service. This work is being done in accordance to the West Coast Economic Data Collection Plan adopted jointly by the Pacific Fishery Management Council and the Commission. In addition, the people and organizations whose names and logos appear below support this effort.

I am writing to let you know ahead of time that you will be contacted to participate in the study. I would greatly appreciate your taking the time to complete and return the questionnaire.

Thanks in advance for your help.

Sincerely,

Dave Colpo  
Program Manager



Ralph Brown,  
PFMC



August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear:}

As a participant of the West Coast groundfish fisheries, you know the economic importance of these fisheries. However, the ability to conduct economic analyses for management purposes is limited by a lack of data. For this reason, the Pacific States Marine Fisheries Commission, under a cooperative agreement with the National Marine Fisheries Service, is developing an economic program to gather this data. The purpose of this survey is to gather information needed to assess the economic effects of fisheries management decisions on the industry and for assessments of community income impacts and regulatory burden.

As a limited entry groundfish trawler, we are asking that you please provide needed cost, earnings and employment information about your operation. While this is a voluntary survey, these analyses are needed to respond to the requirements of the Magnuson Fishery Conservation and Management Act, the Regulatory Flexibility Act, the National Environmental Policy Act, and Executive Order 12866 on Regulatory Planning and Review. This survey is being conducted pursuant to the West Coast Economic Data Collection Plan adopted jointly by the Pacific Fishery Management Council and the Commission.

You may be assured of complete confidentiality of the data you provide. The attached letter, written by NOAA/NMFS explains their confidentiality policies. In addition, your questionnaire has an identification number for mailing purposes only. This is so that we may check your name off the mailing list when your questionnaire is returned. Your name will never be placed on the questionnaire itself. In addition, the information that identifies you and your vessel is collected on a single sheet, separate from the survey booklet. When you return your questionnaire this sheet will be removed and retained by my office. The surveys will be delivered to Oregon State University Survey Research Center for data entry.

I have included 2 pamphlets that provide more information about this program as well as the survey itself. If you have any questions about this program please feel free to contact me at (206) 526-4251 or toll-free at (888) 425-4251.

Thank you very much for your assistance.  
Sincerely,

Dave Colpo  
Program manager

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear: }

This letter was prepared to explain National Marine Fisheries Service (NMFS) and National Oceanic and Atmospheric Administration (NOAA) policies regarding the protection of confidential data. This includes data submitted in response to the voluntary Cost, Earnings and Employment Survey being undertaken by the Pacific States Marine Fisheries Commission in cooperation with NMFS Northwest Region.

Protecting the confidentiality of proprietary data provided to the NMFS is not only required by Federal statute and regulation, it is critical to NMFS efforts to obtain the data required to meet its fishery conservation and management responsibilities. NMFS collects and maintains a wide variety of confidential data and has been successful both in preventing unauthorized access to data and in protecting confidential data from release under Freedom of Information Act (FOIA) requests.

It is NOAA's position that the information submitted in the Cost, Earnings and Employment Survey will be treated as confidential and will be protected from FOIA requests by Exemption 4 of FOIA. Under NOAA policy on confidential data, only the results of the survey, aggregated at a level that will not compromise individual confidentiality, will be reported to the public. The basis for this position is presented below.

Exemption 4 states that information which is: 1) commercial or financial; and 2) privileged or confidential is generally exempt from disclosure. Commercial or financial information specifically includes business sales statistics, profit and loss data, overhead and operating costs, and information on financial conditions. Commercial or financial information is considered confidential for purposes of Exemption 4 if the disclosure of the information is likely to: 1) impair the government's ability to obtain necessary information in the future; or 2) cause substantial harm to the competitive position of the person submitting the information. It is NOAA's position that both of these conditions are met by the Cost, Earnings and Employment Survey data.

Additional protection may be provided to the Cost, Earnings and Employment Survey data because it will be submitted voluntarily. In Critical Mass Energy Project v. Nuclear Regulatory Comm'n, 975 F.2d 871 (D.C. Cir 1992) (en banc), the court ruled that Exemption 4 protects any commercial or financial information voluntarily supplied to the government if the information is of a kind that the provider would not customarily release to the public. It is NOAA's position that this conditions is met for the Cost, Earnings and Employment Survey data. NMFS has implemented a series of controls to protect the identity of submitters of confidential data. The control system for a particular region is described in a Regional Data Security Handbook maintained by each region's Data Base Administrator (RDBA). Specifically it:

- (1) Identifies those persons who have access to statistics/data files on a named basis and under what conditions;

- (2) Contains procedures to limit access to confidential data to authorized users on a "need to know basis;" and
- (3) Provides for safeguarding the data through user and password restrictions that govern access to databases. Source data (e.g., paper records) are maintained under lock and key until no longer needed; then they are burned or shredded.

This system requires that all persons who have authorized access to the data be informed of the confidentiality of the data. These persons are required to sign and file with the regional RDBA a statement of non-disclosure that includes statements that they:

- (1) Have been informed that the data are confidential; and
- (2) Have reviewed and are familiar with the procedures to protect confidential statistics
- (3) Are aware of the penalties for violation of the non-disclosure statement

Persons having access to these data are prohibited from unauthorized use or disclosure, and are subject to the civil and criminal penalty provisions of 18 U.S.C. 1905, 16 U.S.C. 1857, and NOAA/NMFS internal procedures, including NOAA Administrative Order 216-100.

NMFS realizes that the data collected through the Cost, Earnings and Employment Survey is particularly sensitive. Authorized access to this data will be strictly limited and all necessary precautions will be taken to assure that the data is secure from unauthorized access.

With your cooperation, we believe that the Cost, Earnings and Employment Survey will provide information that is critical for improving our ability both to measure the economic importance of the West Coast groundfish fisheries and to determine the economic effects of fishery management decisions. Therefore, we encourage you to participate in the survey.

Please contact one of us if you want additional information about the confidentiality of the survey data.

Sincerely,

Randy Fisher

William W. Stelle, Jr.

Usha S. Varanasi

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear: }

About 3 weeks ago a questionnaire seeking cost, earnings and employment information for your vessel was mailed to you. If you have already completed and returned the questionnaire to us, please accept our sincere thanks. If not, please do so today. We are especially grateful for your help, as this information is important to West Coast fisheries analysts and managers.

If you did not receive a questionnaire, or if it was misplaced, please call me at (206) 526-4251 or toll-free at (888) 421-4251 and we will send you a new copy.

Sincerely,

Dave Colpo  
Pacific States Marine Fisheries Commission  
7600 Sand Point Way NE, Building 4  
Seattle, WA 98115-0070

August 30, 1999

{Name}  
{Company Name}  
{Address}  
{City, State, Zip}

{Dear: }

About 5 weeks ago we wrote to you asking for information about your fishing operation. As of today, we have not received your completed questionnaire. We realize that you may not have had time to complete it. However, we would genuinely appreciate hearing from you.

This work is being done to help provide the Pacific Fishery Management Council, its analysts and the analysts of the National Marine Fisheries Service with important cost, earning and employment information. In order for the results of the study to be useful, it is essential that each person make every effort to return a completed survey.

In the event that your questionnaire has been misplaced, a replacement is enclosed. I would be happy to answer any questions you may have about this work. Please write or call me at (206) 526-4251 or toll-free at (888) 421-4251.

Sincerely,

Dave Colpo  
Program Manager

## **Attachment H - List of Potential Questions Catcher and Charter Vessels**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make?
  - What is the model?
  - What is the horsepower?
  - How old is each engine?
  - What is the remaining expected useful life of each engine?
  - When was the last complete engine overhaul?
- What type(s) of electronic equipment does this vessel have on board?
- What is the remaining expected useful life of this equipment?
- What is the vessel's hold capacity (in pounds of fish)?
- What is the remaining expected useful life of this vessel as a fishing vessel?
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What is the homeport for this vessel?
- In which port was the majority of vessel maintenance done?
- In what year was the last major structural modification made to this vessel?
- What was that modification?
- Where was this work done?
- Which of the following storage capabilities does the vessel have?
  - Ice
  - Freezer
  - Live Fish Hold
  - Recycled Sea Water
  - Fish Meal
- What types of processing equipment are available on board this vessel?
- What is the make of each type?
- What is the model of each type?

- How many is there of each type?
- How old is each type?
- What is the expected remaining useful life of each type?
- Does this vessel use an automatic baiter?
  - If yes, what is the make?
  - If yes, what is the model?
  - If yes, what is the remaining expected useful life of this equipment?
- Without major structural modifications:
  - What type(s) of fishing gear is the vessel readily able to use?
  - How much of each type of fishing gear can the vessel readily use?
- How many berths does this vessel have?
- Does this vessel have an open deck or closed deck?

### **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual.
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
- Does a management company run this vessel?
  - If yes, please provide contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Is this vessel owned by a company that owns other vessels?
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend fishing commercially or participating in commercial fishing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

### **Question 3. Capital Costs**

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?
  - What were the vessel's depreciation costs in period x including all gear and equipment?
  - What is the book value of the vessel including all gear and equipment?
  - What is the estimated market value of the vessel including all gear and equipment?
  - What is the estimated market value of the electronic equipment on this vessel?

- What is the estimated market value of the fishing gear for this vessel?
- What is the estimated market value of the processing equipment on this vessel?
- Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
  - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
- If you lease limited entry permits:
  - How much was spent to lease permits?
  - For how long did you lease the permit in year X?
  - For which particular fisheries are you leasing the permit?
- If you own limited access permits:
  - When did you purchase these permits and what was their purchase price?
  - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
  - How likely are you to sell your limited access permit if a buyback program were offered?  
 Very Likely \_\_ Likely \_\_ Not Likely \_\_ Not at all \_\_ Not sure \_\_
  - If you were interested in selling your permit, what would be a fair price for your permit?
  - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
- What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
 0% \_\_ 1% \_\_ 2% \_\_ 3% \_\_ 4% \_\_ 5% \_\_
- What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
- Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
  - If yes, what is it?
  - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
  - In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this vessel
  - income taxes
  - other taxes associated with this vessel not including income taxes or fishery business taxes based on amount of fish landed (e.g. property taxes)
  - P&I associated with this vessel



- other insurance associated with this vessel (not including P&I)
- routine vessel and equipment maintenance (not including fishing gear)
- non-routine maintenance (i.e. major overhauls, new engine, refittings)
- management salaries or fees
- gear loss and maintenance
- vessel moorage or storage or gear storage associated with this vessel?
- other shore costs
- other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the fuel/lubricant costs and quantities?
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were other payments to labor?
  - What were the benefit costs to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the ice costs and quantities?
  - What were the food costs?
  - What were the water costs?
  - What were the packaging costs?
  - What were the bait costs and quantities for each type of bait used?
  - What were other supply costs?
  - What were the total loading and unloading costs?
  - What were the waste disposal costs?
  - What were the communication costs?
  - If observers were carried on board, what were the observer costs?
- In period x, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
  - If a crew share system was used, please describe it.

### **Question 6. Effort/Gear Descriptors**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea and active in fishing
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:

- what was the pre-season set-up time?
- what were the revenues (including post-season settlements)?
- For each of the gear/fishery combinations in which this vessel was active:
  - how many days were spent away from port/at sea in an average period?
  - how many days were spent fishing in an average period?
  - how many days were spent searching in an average period?
- For a typical species/gear combination trip:
  - how long is the typical trip in days?
  - what constitutes a typical crew, by position?
  - what is the break-even revenue for a trip?

### **Question 7. Catch/Revenue**

- Did this vessel participate in any West Coast or Alaska fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the revenues received from these landings by species and grade?
- Did this vessel receive any post-season settlements in period x?
  - If yes, what was the approximate value of the settlement(s) received?
  - If yes, what was the species and weight of fish associated with each settlement(s)?
  - If yes, what time of year was the catch landed?
- In addition to what was paid for the fish, were goods or services received for deliveries made by this vessel in period x?
  - If yes, what type(s) of goods/services were received?
  - If yes, what was the approximate value of the goods/services received?
- Excluding the fishing income related to the Alaska and West Coast landings, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during period x, what would have been the next best possible use of the vessel and how would that have affected profitability?

### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage expended locally (in the county of the vessel's homeport); the

percentage expended in state but outside the county of the vessel's homeport; the percentage expended in Washington, Oregon and California; the percentage expended in AK; the percentage expended in other US states; and the percentage expended abroad. For crew members, consider the expenditure to be made in the crewmember's county of residence.

Total expenditures in:

	<u>Home county/port</u>	<u>AK</u>	<u>WOC</u>	<u>Home state Other US</u>	<u>non-US</u>
Vessel/Engine Repair/Replacement					
Gear Repair/Replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Crew Share					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging Materials					
Transportation					
Communication					
Moorage					
Miscellaneous					

#### **Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.

#### **Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, product quality, catch per unit effort, percentage of time spent searching, percentage of time laid up?
- By fishery/gear/season if the season were extended by x days, would this vessel take part in the extended season?
  - If yes, in what activities would the vessel have otherwise been engaged if the season were not extended?
  - If yes, what would the expected gross and net revenues be for this additional period of fishing?
  - If yes, how would the ex-vessel price paid by processors be affected?
  - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?

- If the same quantity of fish were landed over a period x days longer than the past season, how would utilization rates, product quality, and harvesting cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
  - If yes, did the vessel receive a higher price for fish caught under the CDQ than for fish caught in an open-access fishery?
  - If yes, was the vessel obligated to take the entire CDQ contracted for?
  - If yes, was the CDQ used to locate fish prior to a season opening?
- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
- What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
  - What additional data (if any) not asked for in this survey might they require?
- Please list the fish buyers and processors for which this vessel fished on market orders in period x.
- Describe the types of contractual arrangement by which fish were supplied to each processor.
- Please indicate to which of the following this vessel sold its products in period x: independent processors, processors within the same company that owns the vessel, foreign buyers, restaurants, retailers, and consumers.
- By fishery/season, how would harvesting the same quantity of fish over a period x days longer than last season affect catch per unit effort, fish quality, and harvesting cost per metric ton of product?
- What were the ex-vessel prices by species, grade and season?

## **Attachment I - List of Potential Questions for Shoreside Processors**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Plant Characteristics**

- What are the federal and state ID codes for this plant?
- What type(s) of processing equipment are available at the plant?
- What is the make of each type?
- What is the model of each type?
- How many of each type?
- What is the expected remaining useful life of each type?
- In what year was the plant purchased?
- In what year was this plant built?
- How much storage space for fish meal does the plant have?
- How much non-cold storage floor space does the plant have?
- What is the processing capacity of the plant by product/species in metric tons (or pounds) per period?
- What is the freezing capacity of the plant in metric tons of product per period?
- How many cubic feet of freezer storage does the plant have?
- Fishery participation:
  - What species are processed at this plant?
  - What products are produced in the plant?
- By product type, to which markets are products sold?
- What are the sources of fish product? (e.g. domestic vessel deliveries to the plant from the EEZ off the West Coast (Washington, Oregon, California); domestic vessel deliveries to the plant from the EEZ off the West Coast; fish landed on the West Coast by domestic fishing vessels and shipped to the plant from other parts of the West Coast area; domestic fish (fish delivered by domestic fishing vessels) shipped to the West Coast from outside the area; fish imported from outside the country; fish shipped in from outside the EEZ or Alaska)
- Does the plant have waterfront access for receiving fish?
- Do you process other products besides fish in these plants?

### **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the plant?
- Please provide contact information for this individual.
- What is the name of the company that owns this plant?
- What is this company's main address?
- Who is the primary contact regarding this plants= operations in the event we need to contact him/her for further information?
- Please provide contact information for this individual.
- Is this plant owned or leased by the operator?
- Does a management company run this plant?
  - If yes, please provide contact information for this company.
- Do the owners of this plant also own catcher vessels?

- If yes, please provide vessel identification.
- Is this plant owned by a company that owns catcher vessels?
- Is this plant owned by a company that owns other plants?
- How much time does the owner(s) spend processing commercially or participating in commercial processing activities?
- Does the plant employ buyers in other ports?
- Is the plant a processing facility or a buying station?

### **Question 3. Capital and Land Costs**

- The following questions deal with the long-term debt position associated with this plant in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this plant is owned, what were the total debt/interest expenses in period x?
  - If this plant is leased, what were the total lease payments in period x?
  - What were the plant's depreciation costs in period x including all gear and equipment and land?
  - What is the book value of the plant including all gear, equipment and land?
  - What is the estimated market value of the plant including all gear, equipment and land?
  - What is the estimated market value of the processing equipment in this plant?
  - What is the estimated market value of the land on which this plant sits?
  - Does this plant have any limited access permits/licenses or quota shares attached to it?
    - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
  - If you lease limited entry permits:
    - How much was spent to lease permits?
    - For how long did you lease the permit in year X?
    - For which particular fisheries are you leasing the permit?
  - If you own limited access permits:
    - When did you purchase these permits and what was their purchase price?
    - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
    - How likely are you to sell your limited access permit if a buyback program were offered?
 

Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
  - If you were interested in selling your permit, what would be a fair price for your permit?
  - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
  - What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?
 

0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
  - What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?

- Is there any other capital with a replacement cost greater than \$x owned by or associated with this plant?
  - If yes, what is it?
  - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this plant
  - income taxes
  - other taxes associated with this plant not including income taxes or fishery business taxes based on amount of fish landed (e.g. property taxes)
  - P&I associated with this plant
  - other insurance associated with this plant (not including P&I)
  - routine plant and equipment maintenance
  - non-routine maintenance (i.e. major overhauls, refittings)
  - management salaries or fees
  - other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
  - finished product storage
  - utilities
  - property taxes
- Did the plant lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- Does this plant operate seasonally?
  - If yes, what was cost of opening plant?
  - If yes, how much lead time was required to hire crews, etc.?

#### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this plant:
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the plant's utility costs and quantities?

- What were the ice costs and quantities?
- What were the food costs?
- What were the water costs?
- What were the product additive costs and quantities?
- What were the packaging costs?
- What were the bait costs and quantities for each type of bait used?
- What were other supply costs?
- What were the total loading and unloading costs?
- What were the waste disposal costs?
- What were the communication costs?
- If observers were at the plant, what were the observer costs?
- What were shipping costs?
- What were the ex-vessel fish costs by species?
- In addition to what was paid for fish, did this plant provide any goods or services for deliveries in period x?
  - If yes, what types of goods/services did the company provide?
  - If yes, what was the approximate cost of the goods/services provided?
- Did the plant provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- How was each position paid? (e.g., salaries, hourly, share system)
- How were processing labor costs calculated?
- Does this plant provide or subsidize room and board for employees?
  - If yes, what were the costs incurred for this room and board?
- For other labor only:
  - How much was spent in period x on non-management wages?
- How much was spent in period x on management salaries?
- How much was spent in period x on benefits?
- How much was spent in period x on other labor related costs?
- What were labor recruitment costs in period x?
- What were labor transportation costs in period x?

#### **Question 6. Effort**

- Please indicate the number of days in year X the plant spent in each of the following activities:
  - active in processing
  - shut down for maintenance
  - idle due to lack of <<economically viable>> processing opportunities?
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent processing in an average period?
  - how many processing shifts were there per day?
  - what was the average length of each shift?

#### **Question 7. Revenue**

- What were the ex-processor quantities and prices by species, product form and quality/grade?



- What was the ex-processed value of product FOB Alaska or FOB Seattle by species, product form and quality/grade?
- On average what percentage of plant sales were written off as a bad debt expense in period x?
- Did this plant have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the plant get from each source?
- In addition to what was paid for the fish, were goods or services provided for deliveries made to this plant in period x?
  - If yes, what type(s) of goods/services were provided?
  - If yes, what was the approximate value of the goods/services provided?

### **Question 8. Opportunity Cost**

- For each fishery and period in which the plant participated during period x, what would have been the next best possible use of the plant and how would that have affected profitability?

### **Question 9. Regional Impact**

- For each of the following cost categories please specify the plant's total annual expenditures; the percentage expended locally (in the county of the plant's homeport); the percentage expended in state but outside the county of the plant's homeport; the percentage expended in Washington, Oregon and California; the percentage expended in AK; the percentage expended in other US states; and the percentage expended abroad. For labor, consider the expenditure to be made in the laborer's county of residence. (This question will be presented in tabular format.)

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	Home state <u>WOC</u>	<u>Other US</u>	<u>non-US</u>
Plant/Equipment Repair					
Fuel & Electric					
Food and Supplies					
Ice and Bait					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging materials					
Transportation					
Communication					
Moorage					
Miscellaneous					

Question 10. Labor/Employee/Family

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.

Question 11. Other

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, product quality, percentage of time laid up?
- By fishery/season:
  - If the season were extended by x days, would this plant take part in the extended season?
    - If yes, what activities would the plant be engaged in if the season was not extended?
    - If yes, what would the expected gross and net revenues be for this additional period of fishing?
  - If the season were extended by x days, how would the ex-vessel price paid to catcher boats be affected?
    - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
  - If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
  - Has this plant participated in any Community Development Quota (CDQ) fisheries?
    - If yes, was monetary compensation paid to the quota holder?
    - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
    - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
    - If yes, was the plant obligated to take the entire CDQ contracted for?
    - If yes, did the plant pay a higher price for fish caught under the CDQ than fish caught in the open-access fishery?
    - If yes, did the plant receive a higher price for products produced from CDQ fish?
    - If yes, were products produced from CDQ fish of a different quality than those produce from non-CDQ fish of the same species?
    - If yes, was the recovery rate different for products processed from CDQ fisheries?
  - What measures do you use to assess the financial performance of the plant?
    - On the basis of these measures, what has happened to performance over the past x year(s)?
    - If financial performance has changed, what are the primary reasons?
  - What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
    - What additional data (if any) not asked for in this survey might they require?
  - Please list the catcher boats that fished on contractual arrangements/market orders for this plant in period x.
    - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.

- Please indicate to which of the following the plant sold its products in year X: independent wholesalers, other processors, marketing branch within the same company that owns the plant, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?

## **Attachment J - List of Potential Questions Motherships**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make?
  - What is the model?
  - What is the horsepower?
  - How old is each engine?
  - What is the remaining expected useful life of each engine?
  - When was the last complete engine overhaul?
- What type(s) of electronic equipment does this vessel have on board?
  - What is the remaining expected useful life of this equipment?
- What is the vessel's hold capacity (in pounds of fish)?
- What is the remaining expected useful life of this vessel (as a fish processing vessel)?
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What is the homeport for this vessel?
- In which port is the majority of vessel maintenance done?
- In what year was the last structural modification made to this vessel?
  - What was that modification?
  - Where was this work done?
- Which of the following storage capabilities does the vessel have?
  - Ice
  - Freezer
  - Live Fish Hold
  - RSW
  - Fish Meal
- What types of processing equipment are available on board this vessel?
  - What is the make of each type?
  - What is the model of each type?

- How many is there of each type?
- How old is each type?
- What is the expected remaining useful life of each type?
- What is the total area and volume of the vessel's cold storage facilities?
- How much frozen product can the vessel hold?
- How much freezer storage space does the vessel have?
- How much non-cold storage volume does the vessel have?
- How much storage space does the vessel have for fish meal?
- What is the vessel's processing capacity by species/product per period (in metric tons or pounds)?
- For each product the vessel freezes, what is the freezing capacity of the vessel per period?
- What species are processed on board this vessel?
- What products are processed on board this vessel?
- To which markets are products sold?

### **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual.
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
- Does a management company run this vessel?
  - If yes, please provide the contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Do the owners of this vessel also own catcher vessels?
  - If yes, please provide vessel identification.
- Is this vessel owned by a company that owns other vessels?
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend processing commercially or participating in commercial processing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

### **Question 3. Capital Costs**

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?

- What were the vessel's depreciation costs in period x including all gear and equipment?
- What is the book value of the vessel including all gear and equipment?
- What is the estimated market value of the vessel including all gear and equipment?
- What is the estimated market value of the electronic equipment on this vessel?
- What is the estimated market value of the fishing gear for this vessel?
- What is the estimated market value of the processing equipment on this vessel?
- Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
  - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
- If you lease limited entry permits:
  - How much was spent to lease permits?
  - For how long did you lease the permit in year X?
  - For which particular fisheries are you leasing the permit?
- If you own limited access permits:
  - When did you purchase these permits and what was their purchase price?
  - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
  - How likely are you to sell your limited access permit if a buyback program were offered?  
 Very Likely \_\_\_ Likely \_\_\_ Not Likely \_\_\_ Not at all \_\_\_ Not sure \_\_\_
  - If you were interested in selling your permit, what would be a fair price for your permit?
  - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
- What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
 0% \_\_\_ 1% \_\_\_ 2% \_\_\_ 3% \_\_\_ 4% \_\_\_ 5% \_\_\_
- What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
- Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
  - If yes, what is it?
  - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.
- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this vessel

- income taxes
- other taxes associated with this vessel not including income taxes or fishery business taxes based on amount of fish landed (e.g. property taxes)
- P&I associated with this vessel
- other insurance associated with this vessel (not including P&I)
- routine vessel and equipment maintenance (not including fishing gear)
- non-routine maintenance (i.e. major overhauls, new engine, refittings)
- management salaries or fees
- gear loss
- vessel moorage or storage or gear storage associated with this vessel?
- other shore costs
- other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
- Did the vessel lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

#### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were the benefit costs to crew?
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the ice costs and quantities?
  - What were the food costs?
  - What were the water costs?
  - What were the product additive costs and quantities?
  - What were the packaging costs?
  - What were the bait costs and quantities for each type of bait used?
  - What were other supply costs?
  - What were the total loading and unloading costs?
  - What were the waste disposal costs?
  - What were the communication costs?
  - If observers were carried on board, what were the observer costs?
  - What were the ex-vessel fish costs by species?
  - In addition to what was paid for fish, did this vessel provide any goods or services for deliveries in period x?

- If yes, what types of goods/services did the company provide?
  - If yes, what was the approximate cost of the goods/services provided?
- Did the vessel provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- What were shipping costs?
- In year X, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
- How were processing labor costs calculated?
- If a crew share system was used, please describe it.
- For other labor only:
  - How much was spent in period x on non-management wages?
  - How much was spent in period x on management salaries?
  - How much was spent in period x on benefits?
  - How much was spent in period x on other labor related costs?
  - What were labor recruitment costs in period x?
  - What were labor transportation costs in period x?

#### **Question 6. Effort/Crew Descriptors**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea active in processing
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent away from port in an average period?
  - what is/was the minimum number of days the vessel would be expected to spend in port between fishing trips?
  - how many days were spent processing in an average period?
  - what constitutes a typical crew, by position?
  - how many processing shifts were there per day?
  - what was the average length of each shift?

#### **Question 7. Catch/Revenue**

- Did this vessel participate in any West Coast or Alaska fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the quantities of product by species, product form and quality/grade for each period?



- If yes, what were the revenues associated with this production by species, product form and quality/grade for each period?
- If yes, were any of these product sales transactions within the company or between subsidiaries of a larger company and if so which?
- What were the ex-processor quantities and prices by species, product form and quality/grade?
- What was the ex-processed value of product FOB Alaska or FOB Seattle by species, product form and quality/grade?
- On average what percentage of plant sales were written off as a bad debt expense in period x?
- What were the estimated recovery rates for each product by species?
- Did this plant have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the plant get from each source?
- Excluding the fishing income related to the Alaska landings described above and landings for which West Coast fish tickets were filled out, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

#### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during year X, what would have been the next best possible use of the vessel and how would that have affect profitability?

#### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage spent in Alaska; the percentage spent in Washington; the percentage spent in Oregon; the percentage spent California; the percentage spent in other states and the percentage spent abroad. For crewmembers, consider the expenditure to be made in the crewmembers county of residence. (This will be in tabular form)

Total expenditures in:

	Home <u>county/port</u>	<u>AK</u>	<u>WOC</u>	Home state <u>Other US</u>	<u>non-US</u>
Vessel/Engine repair/replacement					
Gear repair/replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					

Insurance  
Interest Expense  
Licenses  
Packaging materials  
Transportation  
Communication  
Moorage  
Miscellaneous

**Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.

**Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, product quality, percentage of time laid up?
- By fishery/season:
  - If the season were extended by x days, would this vessel take part in the extended season?
    - If yes, what activities would the vessel be engaged in if the season were not extended?
    - If yes, what would the expected gross and net revenues be for this additional period of fishing?
  - If the season were extended by x days, how would the ex-vessel price paid to catcher boats be affected?
    - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
  - If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?
  - If yes, was the vessel obligated to take the entire CDQ contracted for?
  - If yes, did the vessel pay a higher price for fish caught under the CDQ than fish caught in the open-access fishery?
  - If yes, did the vessel receive a higher price for products produced from CDQ fish?
  - If yes, were products produced from CDQ fish of a different quality than those produce from non-CDQ fish of the same species?
  - If yes, was the recovery rate different for products processed from CDQ fisheries?

- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
  - What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
  - What additional data (if any) not asked for in this survey might they require?
- Please list the catcher boats that fished on contractual arrangements/market orders for this vessel in period x.
  - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.
- Please indicate to which of the following the vessel sold its products in year X: independent wholesaler, other processors, marketing branch within the same company as that which owns the vessel, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?

## **Attachment K - List of Potential Questions Catcher-Processors**

- Date surveyed completed.
- Name of person(s) completing survey.

### **Question 1. Vessel Characteristics**

- What is the vessel's US Coast Guard ID?
- What is the vessel's state ID?
- What is the vessel's name?
- What is the vessel's hull type?
- What is the vessel's gross tonnage?
- What is the vessel's net tonnage?
- What is the vessel's length overall?
- What is the vessel's registered length?
- What is the vessel's beam?
- What is the vessel's fuel capacity?
- What type of fuel does the vessel use?
- What type of propulsion does the vessel use?
- For main and auxiliary engines:
  - What is the make?
  - What is the model?
  - What is the horsepower?
  - How old is each engine?
  - What is the remaining expected useful life of each engine?
  - When was the last complete engine overhaul?
- What type(s) of electronic equipment does this vessel have on board?
- What is the remaining expected useful life of this equipment?
- What is the vessel's hold capacity (in pounds of fish)?
- What is the remaining expected useful life of this vessel as a fishing vessel?
- What was the purchase price of this vessel?
- In what year was this vessel built?
- In what year was this vessel purchased?
- What was the homeport of this vessel?
- In which port was the majority of vessel maintenance done?
- In what year was the last major structural modification made to this vessel?
- What was that modification?
- Where was this work done?
- Which of the following storage capabilities does the vessel have?
  - Ice
  - Freezer
  - Live Fish Hold
  - RSW
  - Fish Meal
- What types of processing equipment are available on board this vessel?
  - What is the make of each type?
  - What is the model of each type?

- How much is there of each type?
- How old is each type?
- What is the expected remaining useful life of each type?
- What is the total area and volume of the vessel's cold storage facilities?
- How much frozen product can the vessel hold?
- How much freezer storage space does the vessel have?
- How much non-cold storage volume does the vessel have?
- How much storage space does the vessel have for fish meal?
- What is the vessel's processing capacity by species/product per period (in metric tons or pounds)?
- For each product the vessel freezes, what is the freezing capacity of the vessel per period?
- What species are processed on board this vessel?
- What products are processed on board this vessel?
- To which markets are the products sold?
- Does the vessel use an automatic baiter?
  - If yes, what is the make?
  - If yes, what is the model?
  - If yes, what is the remaining expected useful life of this equipment?
- Without major structural modifications:
  - What type(s) of fishing gear is the vessel readily able to use?
  - How much of each type of fishing gear can the vessel readily use?

## **Question 2. Ownership**

- Type (e.g., Sole Proprietor, Corporation)
- Who is the primary owner of the vessel?
  - Please provide contact information for this individual.
- Who is the primary contact regarding this vessel's operations in the event we need to contact him/her for further information?
  - Please provide contact information for this individual.
- Is this vessel owned or leased by the operator?
- Does a management company run this vessel?
  - If yes, please provide contact information for this company.
  - If yes, is the management company independent of the vessel-owning company?
- Do the owners of this vessel also own catcher vessels?
  - If yes, please provide vessel identification.
- Is this vessel owned by a company that owns other vessels?
- Is this vessel owned by a company that owns processing plants?
- How much time does the owner(s) spend fishing commercially or participating in commercial fishing activities?
- Does the vessel owner participate in the Capital Construction Fund program using revenues from this vessel?
- Does the vessel owner participate in the Fishing Vessel Obligation Guaranty program with this vessel?

## **Question 3. Capital Costs**

- The following questions deal with the long-term debt position associated with this vessel in year X:
  - At the beginning of year X, what was the total debt?
  - What new debt was incurred during year X?
  - What were the total amount of principal payments made in year X?
  - What were the total amount of interest payments made in year X?
  - If this vessel is owned, what were the total debt/interest expenses in period x?
  - If this vessel is leased, what were the total lease payments in period x?
  - What were the vessel's depreciation costs in period x including all gear and equipment?
  - What is the book value of the vessel including all gear and equipment?
  - What is the estimated market value of the vessel including all gear and equipment?
  - What is the estimated market value of the electronic equipment on this vessel?
  - What is the estimated market value of the fishing gear for this vessel?
  - What is the estimated market value of the processing equipment on this vessel?
  - Does this vessel have any limited access permits/licenses or quota shares attached to it? YN
    - If yes, what is the estimated market value of each type of licenses/shares attached to this vessel?
  - If you lease limited entry permits:
    - How much was spent to lease permits?
    - For how long did you lease the permit in year X?
    - For which particular fisheries are you leasing the permit?
  - If you own limited access permits:
    - When did you purchase these permits and what was their purchase price?
    - What is the estimated current market value of each type of permits/licenses/shares attached to this vessel?
    - How likely are you to sell your limited access permit if a buyback program were offered?  
 Very Likely \_\_ Likely \_\_ Not Likely \_\_ Not at all \_\_ Not sure \_\_
    - If you were interested in selling your permit, what would be a fair price for your permit?
    - If you were interested in selling your permit, what is the minimum amount you would accept for your permit?
  - What is the maximum percent of your West Coast ex-vessel revenues would you be willing to pay to fund a buyback program?  
 0% \_\_ 1% \_\_ 2% \_\_ 3% \_\_ 4% \_\_ 5% \_\_
  - What is the minimum amount you would accept for a 1-year lease of each of type of permits/license/shares?
  - Is there any other capital with a replacement cost greater than \$x owned by or associated with this vessel?
    - If yes, what is it?
    - If yes, what is the estimated market value of each type of capital?

#### **Question 4. Annual Operating Costs**

- Total (fixed and variable) business expenses reported on tax return for this period.
- Does this company use an accounting service?
  - If yes, please provide the contact information.

- Does this company use a bookkeeping service?
  - If yes, please provide contact information.
- In the future would you be willing to allow your accounting or bookkeeping firms to release cost/earnings data to us as an alternative to completing a survey?
- How much was spent during the year on each of the following cost categories in year X:
  - overhead expense including association dues, professional fees (legal, financial, accounting, etc.), office expenses
  - fishery landing/business taxes associated with this vessel
  - income taxes
  - other taxes associated with this vessel not including income taxes or fishery business taxes based on amount of fish landed (e.g. property taxes)
  - P&I associated with this vessel
  - other insurance associated with this vessel (not including P&I)
  - routine vessel and equipment maintenance (not including fishing gear)
  - non-routine maintenance (i.e. major overhauls, new engine, refittings)
  - management salaries or fees
  - gear loss
  - vessel moorage or storage or gear storage associated with this vessel?
  - other shore costs
  - other fixed costs (please give only the total amount for other fixed costs but list below the components of that total.
- Did the vessel lease licenses?
  - If yes, how much was spent to lease licenses (by fishery/gear/period)?
- If this vessel has a west coast homeport and was active in Alaska or has an Alaskan homeport and was active on the west coast, what was the cost of transporting the vessel from homeport the fishing grounds?

### **Question 5. Operating Costs**

- By fishery/region per period/unit of product and associated with this vessel:
  - What were the payments to a hired skipper?
  - What were the payments to an owner acting as skipper?
  - What were the payments to crew (not including skipper)?
  - What were the benefit costs to crew?
  - What were the payments to processing labor?
  - What were the salary payments to processing management?
  - What were the benefit costs to processing labor?
  - What were other payments to labor?
  - What were the costs of employee transportation?
  - What were labor recruitment costs?
  - What were the fuel/lubricant costs and quantities?
  - What were the ice costs and quantities?
  - What were the food costs?
  - What were the water costs?
  - What were the product additive costs and quantities?
  - What were the packaging costs?
  - What were the bait costs and quantities for each type of bait used?

- What were other supply costs?
- What were the total loading and unloading costs?
- What were the waste disposal costs?
- What were the communication costs?
- If observers were carried on board, what were the observer costs?
- If the vessel purchased fish from catcher vessels, what were the ex-vessel fish costs by species?
- In addition to what was paid for fish, did this vessel provide any goods or services for deliveries in period x?
  - If yes, what types of goods/services did the company provide?
  - If yes, what was the approximate cost of the goods/services provided?
- Did the vessel provide any post-season settlement(s) for fish deliveries?
  - If yes, what was the approximate amount of the settlement(s)?
- What were shipping costs?
- In year X, was more than one type of fishing gear used on this vessel?
  - If yes, how much did each gear change cost?
- How was each position paid? (e.g., salaries, hourly, crew share)
- How were processing labor costs calculated?
- If a crew share system was used, please describe it.
- For other labor only:
  - How much was spent in period x on non-management wages?
  - How much was spent in period x on management salaries?
  - How much was spent in period x on benefits?
  - How much was spent in period x on other labor related costs?
  - What were labor recruitment costs in period x?
  - What were labor transportation costs in period x?

### **Question 6. Effort**

- Please indicate the number of days in year X the vessel spent in each of the following activities:
  - at sea and active in fishing and processing
  - at sea but processing only
  - at sea in transit
  - in port for maintenance, set-up or routine layovers
  - in port laid up due to lack of economically viable fishing opportunities
- By fishery/season/zone:
  - what was the pre-season set-up time?
  - how many days were spent away from port in an average period?
  - what is/was the minimum number of days the vessel would be expected to spend in port between fishing trips?
  - how many days were spent processing in an average period?
  - what constitutes a typical crew, by position?
  - how many processing shifts were there per day?
  - what was the average length of each shift?



### **Question 7. Catch/Revenue**

- Did this vessel participate in any West Coast or Alaska fisheries in period x?
  - If yes, in which fishery(ies)?
  - If yes, what were the landing amounts by species?
  - If yes, what time of the year were these landings made?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?
  - If yes, what were the quantities of product by species, product form and quality/grade for each period?
  - If yes, what were the revenues associated with this production by species, product form and quality/grade for each period?
  - If yes, were any of these product sales transactions within the company or between subsidiaries of a larger company and if so which?
- What were the ex-processor quantities and prices by species, product form and quality/grade?
- What was the ex-processed value of product FOB Alaska or FOB Seattle by species, product form and quality/grade?
- On average what percentage of vessel sales were written off as a bad debt expense in period x?
- Did this vessel have any other processing related revenue sources in period x?
  - If yes, what were they?
  - If yes, approximately how much annual revenue did the vessel get from each source?
- Excluding the fishing income related to the Alaska and West Coast landings, was there any other fishing related income in period x associated with this vessel?
  - If yes, from what general area was the fish associated with this revenue caught?
  - If yes, what was the time of year?
  - If yes, approximately how much revenue was received from these sources?
  - If yes, what were the sources of this income?
  - If yes, what was the catch quality and condition by species?
  - If yes, what was the quantity discarded?
  - If yes, what was the weighback?

### **Question 8. Opportunity Cost**

- For each fishery and period in which the vessel participated during period x, what would have been the next best possible use of the vessel and how would that have affected profitability?

### **Question 9. Regional Impact**

- For each of the following cost categories please specify the vessel's total annual expenditures; the percentage expended locally (in the county of the vessel's homeport); the percentage expended in state but outside the county of the vessel's homeport; the percentage expended in Washington, Oregon and California; the percentage expended in AK; the percentage expended in other US states; and the percentage expended abroad. For crewmembers, consider the expenditure to be made in the crewmember's county of residence.

Total expenditures in:

	<u>Home</u> <u>county/port</u>	<u>AK</u>	<u>WOC</u>	<u>Home state</u> <u>Other US</u>	<u>non-US</u>
Vessel/Engine/Gear Repair/Replacement					
Fuel/lubricant					
Food and Supplies					
Ice and Bait					
Crew Share					
Processing wages					
Fishery Business or Landings Taxes					
Dues and Fees					
Insurance					
Interest Expense					
Licenses					
Packaging materials					
Transportation					
Communication					
Moorage					
Miscellaneous					

**Question 10. Labor/Employee/Family**

- For each fishery/season provide the positions employed, the average number of workers employed in each position and how that position was paid.
- For each skipper this vessel employed in period x, provide the name of the skipper and months s/he was employed.

**Question 11. Other**

- By fishery:
  - Over the past x years how have changes in fishing regulations affected utilization rates, product quality, catch per unit effort, percentage of time spent searching, percentage of time laid up?
- By fishery/gear/season if the season were extended by x days, would this vessel take part in the extended season?
  - If yes, in what activities would the vessel be engaged if the season were not extended?
  - If yes, what would the expected revenues be for this additional period of fishing?
  - If yes, what would be the maximum number of additional days you would participate in this fishery/season if it were extended?
  - If the same quantity of fish were landed and processed over a period x days longer than the past season, how would utilization rates, product quality, and processing cost per metric ton of product be affected?
- Has this vessel participated in any Community Development Quota (CDQ) fisheries?
  - If yes, was monetary compensation paid to the quota holder?
  - If yes, were quota holders given non-monetary compensation or considerations for the use of their quota, and if so in what form?
  - If yes, what benefits/advantages did the use of a CDQ provide other than additional catch?

- If yes, was the vessel obligated to take the entire CDQ contracted for?
- If yes, did the vessel receive a higher price for products produced from CDQ fish?
- If yes, were products produced from CDQ fish of a different quality than those produced from non-CDQ fish of the same species?
- If yes, was the recovery rate different for products processed from CDQ fisheries?
- What measures do you use to assess the financial performance of the vessel?
  - On the basis of these measures, what has happened to performance over the past x year(s)?
  - If financial performance has changed, what are the primary reasons?
  - What measures of economic performance for the fishery, and fleet as a whole, would be useful in assessing relative performance over time?
- What additional data (if any) not asked for in this survey might they require?
- Please list the catcher boats that fished on contractual arrangements/market orders for this vessel in period x.
  - Describe the types of contractual arrangement by which fish were supplied by each catcher boat.
- Please list the fish buyers and processors (excluding this vessel) for which this vessel fished on contractual arrangements in period x.
  - Describe the types of contractual arrangement by which fish were supplied to each processor.
- Please indicate to which of the following the vessel sold its products in period x: independent wholesaler, other processors, marketing branch within the same company that owns the vessel, foreign buyers, restaurants, retailers, consumers.
- By fishery/season, how would harvesting the same quantity of fish over a period x days longer than last season affect catch per unit effort, fish quality, and harvesting cost per metric ton of product?
- By fishery/season, how would processing the same quantity of fish over a period x days longer than last season affect product recovery rates, product quality, and processing cost per metric ton of product?
- What were the estimated recovery rates for each product by species and season?

## **Attachment L - Federal Register Notice comment**

From: Edward J. Richardson

To: MClayton@doc.gov

Subject: Federal Register Notice [I.D. 011102G] Proposed Information Collection 03/18/2002

March 18, 2002

Ms. Madeleine Clayton, Departmental Paperwork Clearance Officer  
Department of Commerce, Room 6086  
14th and Constitution Avenue NW  
Washington, DC 20230

SENT VIA E-MAIL

Dear Ms. Clayton,

My name is Edward Richardson and I am an economist working for the At-sea Processors Association, a industry association of seven Seattle-area-based seafood companies that together operate a fleet of catching and processing vessels which harvest primarily walleye pollock in the eastern Bering Sea. Per your request (67 FR 2196-7), the purpose of this letter is to provide comments on Proposed Information Collection; Economic Performance Data for the West Coast (California-Alaska) Commercial Fisheries. Specifically, these comments address the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information.

As you may know, the NOAA information collection that you notice has been an on-going project of the National Marine Fisheries Service for several years now (61 FR 7476; 62 FR 27015; 63 FR 11871). The project is described in detail on the web site of the Pacific States Marine Fisheries Commission (PSMFC; Fisheries Economics Data Program at [www.psmfc.org/efin/index.html](http://www.psmfc.org/efin/index.html)). During 1999 and 2000, our member companies assisted the NMFS in the development of survey questionnaires that were ultimately distributed to harvesters and processors in the Bering Sea and Aleutian Islands pollock fisheries. These surveys were intended to implement a NMFS pilot program to collect cost, earnings, and employment data in the Alaska pollock fisheries (the Alaska Cost, Earnings, and Employment Survey is described at the address above and noticed at 63 FR 11871).

During the course of the pilot project to collect cost, earnings, and employment data from the Alaska pollock fisheries, several APA companies worked to complete the catcher-processor survey, which is available from the PSMFC web site at:

[http://www.psmfc.org/efin/surveys/ak\\_surv\\_cp.pdf](http://www.psmfc.org/efin/surveys/ak_surv_cp.pdf).

However, completing this survey involved much more than transcribing data from internal records to the survey instrument and participating in personal interviews. The reason for this is that the format used to categorize the economic data on the survey does not replicate exactly the

format(s) used to categorize and tabulate economic data at any APA company. In fact, the format used to tabulate and categorize economic data on the NMFS surveys is a compromise format that seeks to encompass all of the required information in a way that is comprehensible yet minimizes alternative interpretations for the expected data values. Said another way, the data organization on the NMFS survey is a simplified version of the accounts that our companies keep, and generating the data values required a significant effort by each individual company to analyze and summarize existing accounts in a manner that would permit transcription of company values to the NMFS survey forms. Based on our association's experience, this was true for all APA companies. I believe that it would also be a fair characterization of the situation industry-wide.

As such, and based on our experience with the survey questionnaire referenced above, we believe that the estimated total annual burden hours that you provide in your notice are significantly underestimated. We also strongly disagree with your finding that the estimated total annual cost to the public is \$0. Further, we wonder how it could be that you could have arrived at such a cost estimate. From our experience, we have found that completing the survey questionnaire for a single catcher-processor vessel required 8-10 hours of "set-up" time (i.e., time that would not be required in subsequent years if the survey questionnaire remained unchanged), and a further 40 hours of analysis, transcription, and error-checking time. This total of 48-50 hours compares with your estimate of 10 hours (2 hours for a catcher-vessel response and 8 hours for a processor). That is to say, we believe that your estimate of burden hours is too low by a factor of five. And please note, the above burden-hour calculation does not include any time to respond to the interviews that you state will be required in many cases to ensure the clarity of the responses.

With regard to your estimate of the cost to the public, we note that the cost, earnings, and employment data requested in the NMFS surveys is considered confidential economic information by our companies, and so access to this information at the company level is in all cases limited to "higher-level" personnel such as controllers and human resources directors. Consequently, it is these individuals that must work to complete the questionnaires, and of course these employees have in all cases other tasks that they must complete, day-to-day, to ensure continued success at their companies. The inevitable result is that the work time allocated to completing the NMFS questionnaires comes at the expense of other company activities. It is this "zero-sum" game as regards the availability of work hours by higher-level company employees that gives rise to a relatively large and very real cost to APA companies from providing the cost, earnings, and employment data that is requested in your notice. In fact, we estimate that the total cost to an APA company of an hour of labor by those employees with access to the data requested by the NMFS surveys is approximately \$50.00. With, say, 50 hours of labor time required to complete a questionnaire, the cost of each catcher-processor survey to an APA company approximates \$2,500.00.

So that our companies may better understand the estimates that you have provided in your notice, we ask that you please respond to the following questions when formulating your response to our comments.

- 1) How many observations for which types of completed information collections during which years were used to arrive at your estimate of six hours of burden for a response from a processor?
- 2) How many observations for which types of completed information collections during which years were used to arrive at your estimate of two hours of burden for a response from a catcher-vessel?
- 3) What method is used to estimate the cost to the public of the burden hours that you estimate are appropriate for this information collection? How do your burden-hour cost estimates for the public compare to the cost to the government of an hour of labor by a senior NMFS economist?

Thanks in advance for your consideration of our comments.

Sincerely,

Edward J. Richardson, Ph.D.  
Atsea Processors Association  
4039 21st Avenue West, Suite 400  
Seattle, WA 98199  
(206) 285-5149  
erichardson@atsea.org  
www.atsea.org

**Attachment M - Response letter from Dr. Joseph Terry, NMFS/AFCS to Federal Register Comment:**

Dear Dr. Richardson:

Thanks you for your comments concerning the Proposed Information Collection; Economic Performance Data for the West Coast (California-Alaska) Commercial Fisheries.

It is quite possible that we underestimated the time required to complete the Cost, Earnings, and Employment Surveys that were developed and used in the late 1990s. As you know, those surveys were developed through an iterative process that involved substantial input from participants in the eastern Bering Sea pollock fishery, including you and members At-sea Processors Association. It is my understanding that the unwillingness of several groups of participants in the pollock fishery to voluntarily provide confidential economic information was the main factor in explaining the dismal response rate. The time required to complete the surveys was not the critical issues. This was demonstrated to some extent by the fact that, as you noted, some of the members of the At-sea Processors Association completed the surveys but did not return them to the National Marine Fisheries Service.

We expect that the time required to complete the surveys that will be developed and used in the future will be substantially less than that required for the previous surveys. There are several reasons for this. First, there is a sufficiently small number of participants in the eastern Bering Sea pollock fishery that the electronic submission of economic data in the formats maintained by each company should be feasible. This approach would place additional burden on the agency but greatly reduce the reporting burden for each company. As you noted, the reporting burden would be expected to be lower in subsequent years because the report generating mechanisms would be in place. Second, we expect to make improvements in our recordkeeping and reporting regulations that will decrease the amount of data that will be collected with voluntary surveys. Third, we expect that cooperative efforts between the agency and participants in the commercial fisheries will result in a reduction in the burden hours per survey. This will include using other sources of data more effectively.

The Federal Register notice that you commented on outlines the agency's proposal to collect economic data for commercial fisheries. The survey instruments and other data collection mechanisms that will actually be used have not been developed. Prior to their use, there will be a review of each by the Office of Management and Budget (OMB). An estimate of the expected time per response will be prepared for that review. I hope that you and others from the commercial fisheries can help us develop accurate estimates at that time.

I can provide a briefer answer to your question concerning our estimate of the total annual cost to the public. OMB has defined this cost to include the costs of fees, equipment acquisitions, copying and postage, and similar things. Salary costs are specifically excluded under OMB rules. In the future, we will attempt to avoid this misunderstanding by including a definition of "cost to the public" in subsequent Federal Register notices.

Thank you for your comments. I look forward to working with you and others from the commercial fishing industry to develop efficient and effective data collection mechanisms.

Sincerely,

Joe Terry



## **Attachment N - List of Contacts:**

### **Industry contacts:**

Tommy Ancona, fisherman, Fort Bragg, CA  
Steve Bodnar, Executive Director, Coos Bay Trawlers  
Jay Bornstein, Bornstein Seafoods  
Ralph Brown, PFMC Council member, harvester, Brookings, OR  
Gene Bugatto, California Shellfish Co.  
Jim Caito, Caito Fisheries  
Tom Casey, AK crab harvester representative  
Barry Cohen, Olde Port Fisheries  
Terry Cosgrove, AK crab  
Frank Dulcich, Pacific Group  
Steve Fick, Fishhawk Fisheries  
Bob Fletcher, Executive Director, Sportfishing Association of California  
John Garner, AK shoreside processor representative  
Gerald Gunnery, trawl harvester  
Kevin Kaldestad, AK crab harvester  
Margaret Hall, AK harvester  
Pete Leipzig, Executive Director, Fishermen's Marketing Association  
Terry Leitzel, Icicle Seafoods  
Rod Moore, Executive Director, West Coast Seafood Processor Association  
Darby Neal, charter boat owner/operator  
Glen Reed, Executive Director, Pacific Seafood Processors Association  
Gary Painter, AK harvester  
Ed Richardson, Economist, At-Sea Processors Association  
Arni Thompson, Executive Director Alaska Crab Coalition  
Doug Wells, AK catcher-processor owner

### **Government contacts:**

Darrell Brannan, North Pacific Fisheries Management Council  
Dave Colpo, Pacific States Marine Fisheries Commission  
Chris Dewees, CA Sea Grant  
Ron Felthoven, National Marine Fisheries Service  
Mark Fina, North Pacific Fisheries Management Council  
Steven Freese, National Marine Fisheries Service  
Ginny Goblirsch, OR Sea Grant  
Jeff Hartman, AK Department of Fish and Game  
Tom Meyer, NOAA General Counsel  
Lew Quierolo, National Marine Fisheries Service  
Mark Saelens, Oregon Dept. of Fish and Game  
James Seger, Pacific Fisheries Management Council  
Wesley Silverthorne, National Marine Fisheries Service  
Dale Squires, National Marine Fisheries Service  
Gil Sylvia, Oregon State University  
Joseph Terry, National Marine Fisheries Service

Cindy Thomson, National Marine Fisheries Service

**Contractors:**

Hans Radtke, Pacific Fisheries Management Council

Shannon Davis, Corvallis, OR

On December 13, 2001, respondent Sammi Steel Co., Ltd. ("Sammi") timely filed an allegation that the Department made a ministerial error in the final results. Petitioners did not submit any comments in reply to this ministerial error allegation.

The Department is revising the all others rate applied to Sammi in the final results in this administrative review of stainless steel sheet and strip in coils from the Republic of Korea. Because Sammi did not participate in the original investigation and because Sammi had no shipments during the period of review, its cash deposit rate is the all others rate assigned to this case.

#### *Sammi's Allegation of a Ministerial Error by the Department*

Sammi contends that the Department, in its *Final Results*, erroneously applied the all others rate determined in the original investigation to Sammi, a no shipper during the period of review. Sammi notes that the Department amended its final determination on August 28, 2001, revising the all others rate from 12.12 percent to 2.49 percent. See *Notice of Amendment of Final Determinations of Sales at Less Than Fair Value: Stainless Steel Plate in Coils From the Republic of Korea; and Stainless Steel Sheet and Strip in Coils From the Republic of Korea* ("Amended Final Determination"), 66 FR 45279 (August 28, 2001). Sammi contends that the Department should amend its *Final Results* to apply the all others rate of 2.49 percent determined in the *Amended Final Determination* to Sammi.

Sammi notes that the Department's regulations defines a ministerial error as an "error in addition, subtraction, or other arithmetic function, clerical error resulting from inaccurate copying, duplication, or the like, and any other similar type of unintentional error which the Secretary considers ministerial," citing 19 CFR 351.224(f). Therefore, Sammi requests that the Department correct this ministerial error by revising Sammi's cash deposit rate and the all others rate to 2.49 percent in this administrative review, in accordance with the *Amended Final Determination*.

*Department's Position:* We agree with Sammi. Our *Final Results* erroneously stated that the "all others rate" applicable to exporters or manufacturers who have not been covered in this or any previous review conducted by the Department is 12.12 percent rather than the 2.49 percent established in the *Amended Final Determination*. The correct all others rate applicable to Sammi is the all others rate established

in the *Amended Final Determination*. Since Sammi did not participate in the original investigation and because Sammi had no shipments in the current period of review, its cash deposit rate is the all others rate determined in the *Amended Final Determination*.

Therefore, we are amending the final results of the antidumping duty administrative review of stainless steel sheet and strip in coils from the Republic of Korea to reflect the correction of the above-cited ministerial error.

We are issuing and publishing this determination and notice in accordance with sections 751(a)(1) and 777(i) of the Act.

Dated: January 9, 2002.

**Faryar Shirzad,**

*Assistant Secretary for Import Administration.*

[FR Doc. 02-1128 Filed 1-15-02; 8:45 am]

**BILLING CODE 3510-DS-P**

## DEPARTMENT OF COMMERCE

### International Trade Administration

#### **Application for Duty-Free Entry of Scientific Instrument**

Pursuant to section 6(c) of the Educational, Scientific and Cultural Materials Importation Act of 1966 (Pub. L. 89-651; 80 Stat. 897; 15 CFR part 301), we invite comments on the question of whether an instrument of equivalent scientific value, for the purposes for which the instrument shown below is intended to be used, is being manufactured in the United States.

Comments must comply with 15 CFR 301.5(a)(3) and (4) of the regulations and be filed within 20 days with the Statutory Import Programs Staff, U.S. Department of Commerce, Washington, DC 20230. Applications may be examined between 8:30 A.M. and 5 P.M. in Suite 4100W, U.S. Department of Commerce, Franklin Court Building, 1099 14th Street, NW., Washington, DC.

*Docket Number:* 01-022. *Applicant:* The Scripps Research Institute, 10550 North Torrey Pines Road, La Jolla, CA 92037. *Instrument:* Electron Microscope, Model Tecnai F20T. *Manufacturer:* FEI Company, The Netherlands. *Intended Use:* The instrument is intended to be used in the study of the following:

- (1) Cowpea Mosaic Virus isolated from infected plants.
- (2) NwV Mosaic Virus isolated from insect cells.
- (3) Muscle Proteins isolated from vertebrate striated and smooth muscle fibers.

(4) Microtubules and associated proteins isolated from bovine brain or from bacterial expression systems.

(5) CHIP28 Water Channels isolated from human erythrocytes.

(6) Aqua Porins isolated from plants.

(7) Acetylcholine Receptors isolated from the electric organ of Torpedo californica and T.marmorata.

(8) Gap Junctions isolated from rat hearts and liver as well as from tissue culture expression systems.

(9) Rotavirus and Reovirus isolated from infected tissue culture cells.

(10) Transcription Complexes from bacterial and yeast expression systems.

(11) A number of enzyme complexes: fatty acid synthase, glyceraldehyde-3-phosphate dehydrogenase, hemocyanin, GroEL, isolated from various tissues of animal and plant origin.

(12) Tobacco Mosaic Virus isolated from infected plants.

The goals of the investigations are in general to understand the structural basis for how the subcellular organelles function and to elucidate the role that they play in the life of the cell.

Application accepted by Commissioner of Customs: October 14, 2001.

**Gerald A. Zerdy,**

*Program Manager, Statutory Import Programs Staff.*

[FR Doc. 02-1132 Filed 1-15-02; 8:45 am]

**BILLING CODE 3510-DS-P**

## DEPARTMENT OF COMMERCE

### **National Oceanic and Atmospheric Administration**

[I.D. 011102G]

#### **Proposed Information Collection; Comment Request; Economic Performance Data for the West Coast (California-Alaska) Commercial Fisheries**

**AGENCY:** National Oceanic and Atmospheric Administration (NOAA).

**ACTION:** Notice.

**SUMMARY:** The Department of Commerce, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995, Pub. L. 104-13 (44 U.S.C. 3506 (c)(2)(A)).

**DATES:** Written comments must be submitted on or before March 18, 2002.

**ADDRESSES:** Direct all written comments to Madeleine Clayton, Departmental

Paperwork Clearance Officer,  
Department of Commerce, Room 6086,  
14th and Constitution Avenue NW,  
Washington DC 20230 (or via Internet at  
MClayton@doc.gov).

**FOR FURTHER INFORMATION CONTACT:**

Requests for additional information or  
copies of the information collection  
instrument(s) and instructions should  
be directed to Dave Colpo, Pacific States  
Marine Fisheries Commission, 7600  
Sand Point Way N.E., Seattle, WA  
98115, phone 206-526-4251, dave—  
colpo@psmfc.org; Steve Freese, Alaska  
Fisheries Science Center, 7600 Sand  
Point Way N.E., Seattle, WA 98115,  
phone 206-526-6113,  
Steve.Freese@noaa.gov; or Joe Terry,  
Alaska Fisheries Science Center, 7600  
Sand Point Way N.E., Seattle, WA  
98115, phone 206-526-4253,  
Joe.Terry@noaa.gov.

**SUPPLEMENTARY INFORMATION:**

**I. Abstract**

Economic performance data for  
selected West Coast (California-Alaska)  
commercial fisheries will be collected  
for each of the following groups of  
operations: (1) processors, including on-  
shore plants, mothership vessels and at-  
sea catcher/processor vessels; (2)  
catcher vessels; and (3) charter vessels.  
Companies associated with these groups  
will be surveyed for expenditure,  
earnings and employment data. In  
general, questions will be asked  
concerning ex-vessel and wholesale  
prices and revenue, variable and fixed  
costs, expenditures, dependence on the  
fisheries, and fishery employment. The  
data collection efforts will be  
coordinated to reduce the additional  
burden for those who participate in  
multiple fisheries. Each year the  
principal focus of this data collection  
program will be on a different set of  
fisheries or on a different set of  
participants in these fisheries. The data  
will be used for the following three  
purposes: (1) to monitor the economic  
performance of these fisheries and  
various components of these fisheries  
through primary processing; (2) to  
analyze the economic performance  
effects of current management measures;  
and (3) to analyze the economic  
performance effects of alternative  
management measures. The measures of  
economic performance to be supported  
by this data collection program include  
the following: (1) contribution to net  
National benefit; (2) contribution to  
income of groups of participants in the  
fisheries (i.e., fishermen, vessel owners,  
processing plant employees, and  
processing plant owners) (3)  
employment; (4) regional economic

impacts (income and employment); and  
(5) factor utilization rates. As required  
by law, the confidentiality of the data  
will be protected.

In each year, the data collection effort  
will focus on different components of  
the West Coast fisheries and more  
limited data will be collected for the  
previously surveyed components of  
these fisheries. The latter will be done  
to update the models that will be used  
to track economic performance and to  
evaluate the economic effects of  
alternative management actions. This  
cycle of data collection will result in  
economic performance data being  
available and updated for all the  
components of the West Coast fisheries  
identified above.

The large scale of most of the  
processing operations involved in these  
fisheries and of many of the harvesting  
operations and the concentration of  
ownership in many of these fisheries,  
particularly off Alaska, means that  
improved economic data for the  
management of these fisheries is a high  
priority for the individuals who will  
provide data for these fisheries. This is  
demonstrated by the fact that  
associations representing many of the  
Alaskan participants in these fisheries  
support this data collection effort and  
have volunteered to assist in verifying  
the data.

**II. Method of Collection**

Data will be collected from a sample  
of the owners and operators of catcher  
vessels, catcher/processors, on-shore  
processing plants, motherships and  
charter vessels that participate in these  
fisheries. The data are expected to be  
collected principally by NMFS and  
Pacific States Marine Fisheries  
Commission economists. Questionnaires  
will be mailed to the selected members  
of each of the different survey groups  
and in many cases those individuals  
will be interviewed to ensure the clarity  
of their responses. To the extent  
practicable, the data collected will  
consist of data that the respondents  
maintain for their own business  
purposes. Therefore, the collection  
burden will consist principally of  
transcribing data from their internal  
records to the survey instrument and  
participating in personal interviews. In  
addition, current data reporting  
requirements will be evaluated to  
determine if they can be modified to  
provide improved economic data at a  
lower cost to respondents and the  
Agency. Similarly, it will be determined  
if some of these data can be collected  
more effectively and efficiently from the  
firms that provide bookkeeping and  
accounting services to participants in

West Coast commercial marine fisheries.  
This data collection method would be  
used only after obtaining permission to  
do so from participants in the fisheries.

The surveys described in this Federal  
Register Notice will be voluntary. The  
North Pacific Fishery Management  
Council is considering the development  
of additional mandatory reporting  
requirements for economic data. If such  
requirements are implemented, the data  
collected with voluntary surveys in  
Alaska would be decreased.

**III. Data**

*OMB Number:* 0648-0369.

*Form Number:* None.

*Type of Review:* Regular submission.

*Affected Public:* Business and other  
for-profit organizations.

*Estimated Number of Respondents:*  
2,278.

*Estimated Time Per Response:* 2 hours  
for a response from a catcher vessel; 1  
hour for a response from a charter boat  
operator; and 8 hours for a response  
from a processor.

*Estimated Total Annual Burden  
Hours:* 7,074.

*Estimated Total Annual Cost to  
Public:* \$0.

**IV. Request for Comments**

Comments are invited on: (a) whether  
the proposed collection of information  
is necessary for the proper performance  
of the functions of the agency, including  
whether the information shall have  
practical utility; (b) the accuracy of the  
agency's estimate of the burden  
(including hours and cost) of the  
proposed collection of information; (c)  
ways to enhance the quality, utility, and  
clarity of the information to be  
collected; and (d) ways to minimize the  
burden of the collection of information  
on respondents, including through the  
use of automated collection techniques  
or other forms of information  
technology.

Comments submitted in response to  
this notice will be summarized and/or  
included in the request for OMB  
approval of this information collection;  
they also will become a matter of public  
record.

Dated: January 10, 2002.

**Madeleine Clayton,**

*Departmental Paperwork Clearance Officer,  
Office of the Chief Information Officer.*

[FR Doc. 02-1143 Filed 1-15-02; 8:45 am]

**BILLING CODE 3510-22-S**